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Gloucester

By John Smith
Esq.

U. S. NAVAL POSTGRADUATE SCHOOL

ANALYSIS OF THE

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Chapter I

Introduction

Definition of Executive Evaluation

Since our civilization began, we have had evaluation in some form but very little development in this field has been done until the last half century. Evaluation of individuals goes on under many different names such as merit rating, efficiency rating, employee appraisal, service rating, personal inventory, employee progress report, and many other titles too numerous to mention here.

Individual evaluation of executives has been defined in many ways. Perhaps the most comprehensive definition is that of Halsey which is:

...an orderly, systematic and carefully considered analysis and evaluation of a person's services, based on both observations over a considerable period of time and a study of all available objective records of performance and behavior.¹

A slightly different emphasis is placed by Knowles and Thomson on the matter of evaluation. They say: "... (It is) a system for discovery and classification of the individual differences among employees ...".² One of the leading authorities in the industrial world has expanded the definition to cover almost every facet of evaluation.

To promote systematic analysis of the performance and abilities and capacities of employees in

1 Making and Using Industrial Service Ratings, George D. Halsey, Harcourt and Brothers, New York, 1944, p.2.

2 Management of Manpower, Leta S. Knowles and Robert B. Thomson, The Macmillan Company, New York, 1943, p.144.

order that employees and management may be kept informed concerning employee's progress in their work and their opportunities and ways and means of improvement; ... (It) is designed to encourage and facilitate intimate and personal relationships between supervisor and employee and to provide the uniform and methodical recording of employee progress.¹

This particular definition includes, in the second sentence, an inference which is pertinent to this study, i.e. the encouragement and facilitation of relationships between supervisor and employee.

We may summarize the definition of executive evaluation as that tool which enables management to evaluate the employee with respect to the organization by the most orderly method.

Importance of Executive Evaluation

The importance of evaluation of executives can never be too strongly stressed. Although we live today in an era of machines, the nation's military and industrial leaders and those throughout the world are realizing more and more the great importance of the individual in achieving success in any type of undertaking, whether it be business or military in character. The prime requisite in achieving this success is the proper selection and placement of personnel. For many years, businesses placed reliance in the abilities of one or two individuals to properly evaluate the job and the man. Today, guides to assist in the evaluation of a/an executive

¹ Plans for Rating Employees, National Industrial Conference Board Inc., Studies in Personnel Policy No. 6, New York, June 1938, p.5.

are available. But, it must be realized that the results obtained from using these guides are directly dependent on the skill with which they are used and the acceptance by both the rater and the ratee of the principles involved in evaluating personnel. "The mechanics of rating are so easy; accurate judgement so difficult."¹

Frequently we find employees, and occasionally even executives, who utterly fail to understand the underlying theory behind evaluation techniques and the uses to which evaluations are put. It is felt that this occasional misunderstanding arises from the methods used by small businessmen who evaluate their personnel without resorting to the use of a guide for assistance as required in a larger establishment. One of the outstanding successful businessmen in the United States, Edward R. Stettinius, Jr. has written:

Men, the prime necessity and supreme asset of any business are rarely evaluated among its assets. Granting that it is difficult to evaluate human beings with exactness, isn't it strange that while large organizations maintain precise inventories of physical properties and materials, men - and principally executives and leaders - infrequently enter into the formal equation.²

Evaluation of employees has become a requisite of good management-employee relations because it avoids arbitrary attitudes on the part of supervisors, it provides top-management with a guide for promoting personnel to positions of greater

¹ Counseling Techniques in College and Secondary School, Ruth Strang, Harper and Brothers, New York, 1937, p.97.

² Men Wanted, Frances Haule, Funk and Wagnalls Co., New York, 1937, p.xix of introduction written by Edward R. Stettinius, Jr.

authority, and it provides a guide for the placement of individuals so as to enhance their value to the organization. The benefits to be derived from an evaluation system by both management and employees are myriad. In the industrial field, Smyth and Murphy provide us with a list of benefits which appeared to be fulfilled by the majority of evaluation systems. The substance of these benefits is as follows:

For management:

- (a) It causes supervisors to think analytically and constructively about their employees;
- (b) There is a greater degree of consistency in handling and treatment of employees;
- (c) Knowing he is subject to periodic review, the employee should be motivated to greater effort;
- (d) The judgements of the supervisors are in writing and thus provide a permanent file subject to review by top-management at any time.

For employees:

- (a) It assures that there will be a periodic and just review of their work and status;
- (b) It should permit promotion and salary increases to those most deserving of them.¹

In the United States Navy, the evaluation of executives is accomplished by the use of the fitness report which is submitted periodically by responsible seniors for officers under their command. The fitness reports are used in the Navy for three primary purposes. These purposes are, selection of officers for promotion to higher ranks, assignment of officers to specific positions and to maintain a complete record of the officer. There are several minor uses to which the form is put out, they do not concern us here. Unfortunately, in the writer's opinion, full use is not made of the

¹ Job Evaluation and Employee Rating, Richard C. Smyth and Matthew J. Murphy, McGraw-Hill Book Co., Inc., New York, 1946, pp.170-171.

fitness reports. Reference here is made to the following paragraph in the instructions:

The Bureau of Naval Personnel desires that reporting seniors make every effort to show each fitness report to the officer reported upon and to discuss it with him, in so far as practicable. ... On every report of fitness, the reporting senior will indicate in Section 12 whether the officer reported on has or has not seen the report.¹

The study was concerned with this particular phase of the evaluation of officers.

Methods of Evaluation

It is perhaps well for us to review briefly the more important types of forms used for the evaluation of individuals. The earliest recorded type of evaluation guide was in the form of a check list which asked the rater a series of questions about the ratee's punctuality, dress and the type of work he performed. The rater had only two choices in this scale, one was yes, the other, no. There were no degrees of variation for the rater to check between the two extremes.

The next method was a bare improvement over the first. This was the ranking method, which is still used in numerous small companies today where the small number of ratees makes this system feasible. This method requires the rater to rank his ratees according to their over-all value to the particular department. The plausibility of this scheme becomes nil when the number of ratees gets higher than about twenty.

¹ General Instructions, Officer's Fitness Report, Form NAVPERS-710a (rev. 6-45), Bureau of Naval Personnel, Navy Department.

Further, the raters must be judged in their entirety. As an example of the difficulties involved, the rater is required to weigh punctuality against output and these against all other factors in order to determine the rank of a particular rater. Another difficulty with this type of rating is the fine gradations in the large middle group in order to place them in a particular rank. For example, who can tell the minute difference that exists between the man ranked ninth and the man ranked tenth in a group of thirty? Studies have been conducted to show that, using this type of evaluation, the correlations between different raters is very low.

The first great improvement made in evaluation scales was that made by the U.S. Army during the first world war under the principle direction of Dr. Walter Dill Scott, who later became the president of Northwestern University. The scale was called the man-to-man scale. The principle behind the scale was the judging of a ratee on six traits with a group of men personally known to the rater and arranged in order of their ability for each trait. Thus, for the trait of initiative, the rater would set up a master list of men known to him and arranged in the order of their ability in this trait. The ratee was then compared with the list and ranked according to the man on the master list, the quality of whose trait the ratee's actions most closely resembled. Unfortunately, there are many drawbacks to using this form of evaluation, not the least of which is setting up the

master list against which to judge the rater.¹

The graphic evaluation scale was developed from the man-to-man scale and consisted of a list of traits and a scale which described various degrees of the trait. The rater was asked to check the ratee's performance at that place on the scale which seemed to describe him best. A variation of this is the Probst Rating System² in which a list of statements pertaining to an individual's actions on a particular job is presented to the rater and those statements which describe the ratee are checked. The resultant weighted value of those statements checked is the ratee's evaluation.

The United States Navy system of officer evaluation is called the Fitness Report³ and is a variation of the graphic evaluation scale. The principle differences are first, the rater is asked to place the ratee in one of five percentile groupings for nineteen traits. This scale is arranged in accordance with the normal curve of distribution. Second, a space is provided for a written statement by the rater in regard to the ratee's performance. A copy of this form has been placed in Appendix A. As previously noted, there is a provision in the form for a discussion of the report between

¹ Personnel Management, Walter D. Scott, Robert C. Clothier, Stanley A. Hutchinson and William L. Striegel, McGraw-Hill Book Co., Inc., New York, 1941, pp. 15-19.

² Measuring and Rating Employee Value, John D. Probst, The Omega Press Co., New York, 1947.

³ Officer's Fitness Report, Form 10-310 (Rev. 6-45), Bureau of Naval Personnel, Navy Department.

the rater and the ratee.¹

Discussion of Evaluations

Surprising as it may seem, the discussion of evaluations between the rater and the ratee in industry is not a widely accepted procedure. Many forward looking industries, Montgomery Ward and Company, to name but one of the outstanding companies, are gradually turning to the discussion of the evaluations given. The noticeable absence of discussions of evaluations probably is the result of the wide gap in society that existed about the turn of the century between management and labor. It was the manager's prerogative to hire and discharge employees for almost any reason and this was accepted practice at that time. Today, the discharge of an employee is a considerable monetary loss to the concern employing him, and society in general does not accept the discharge of employees without reason. Unfortunately, some managements are still reluctant to discuss evaluations because they are still living in the era of the early 1900's.

The discussion of the evaluation given the ratee provides him with a better insight of the rater's attitudes toward his work, and an explanation of the reasons the rater has given either high or low ratings. Probst has stated this concept as follows:

The employee likes to know how he is getting along. He has a right to know. If he feels that his efforts go unrecognized, he loses interest in the job. If he has faults, he cannot be expected

¹ See above p.5.

to correct them unless they are pointed out to him.¹

And later, he states:

The employee is not satisfied merely to know that some central office maintains a detailed record of his output or his 'efficiency'. He wants to know for himself, in plain everyday language, in what respects he is failing and what his good points are - in short, he wants to see himself as his employer sees him.²

A survey by H. C. Hunt³ covering seventy-six corporations with an annual average labor turnover rate of 5.8, shows that people who are discharged lacked specific abilities in only 10.1 of the cases whereas the lack of personality traits was the cause in 69.7 of the cases. Similarly, it was shown that 23.5 of employees fail to be promoted for lack of specific abilities, whereas 76.5 fail promotion for lack of personality traits. Another investigator concluded after conferring with sixty companies that, "Supervisors will rate ...employees carefully if they are required to discuss the rating of each employee with him..."⁴

It is apparent from this information that industry can benefit greatly from a discussion of evaluations with employees. Similarly, the U.S. Navy could benefit from requiring a discussion of fitness reports given to officers. At present there is encouragement given to a discussion of

¹ Measuring and Rating Employee Value, John E. Probst, The Ronald Press Co., New York, 1947, p. 5.

² Ibid., p. 33.

³ Why People Lose Their Jobs or Aren't Promoted, H. C. Hunt, Personnel Journal, 1935-1936, v. 14, p. 97.

⁴ Force Determination, John W. Siegel, Bureau of Industrial Relations, University of Michigan, 1937, p. 124.

fitness reports, and the rater is required to indicate whether or not the report has been shown to the officer. A forthcoming book written by H. G. Asbury after he and his associates had over fifty industrial concerns surveyed, had this to say about the discussion of evaluations:

A discussion with the employee at the end of a rating period, frankly disclosing the evaluation made of him by his superiors, leads not only to a higher degree of personal morale but also encourages spontaneous additional effort toward improvement and growth.¹

Later in Asbury's book, he has this to say:

The evaluation of the individual is incomplete without the opportunity for a free and frank discussion of the record between the superior and the subordinate.²

In the Navy, which presently has over 30,000 officers spread over the entire face of the earth, there are literally thousands of raters who are required by law to submit reports of fitness semi-annually on their subordinates. It is obviously an impossibility for all raters to have set the same standards of performance for their subordinates. When an officer reports to a new station for duty, he possesses a general idea of what is expected of him in the way of duty performance. He has, for instance, the Navy Regulations, the Navy Department General Orders, and other official publications. But it remains for this officer's superior, his rater, to inform him of the more specific standards which

¹ Personnel Administration at the Executive Level - Executive Inventory Control, Prepared by the Office of Management Engineering, Navy Department, Washington, D.C., H. G. Asbury, Copyright U.S. Naval Institute, to be published August 1948, Ibid., p.25.

have been set up for him to meet. Generally, the new officer learns from observing his superior or his fellow officers the standards that have been set up for him to meet. If this officer is one of the fortunate few, he will confer with his superior numerous times during the first month of duty and will learn in this way what standards are set up for him to meet. Too seldom, the fitness report is used as a basis for the discussions, yet it is the most convenient form and is the one to be used for evaluating the officer at the end of the marking period.

It is true that many problems are presented to both the rater and the ratee in discussing fitness reports. For the rater, he must be able to express his views in such a manner that the ratee will accept them in a constructive way rather than in a critical fashion. Both must realize that the discussion is really a searching, objective study of the ratee's work performance. The National Industrial Conference Board has this to say about evaluations:

... there are no universal criteria or standards of measurement for human qualities. Objective measurement is available for certain classes of wage earners (quality and quantity of work), however, ... total relative value and desirability also includes ... degree of cooperation, initiative, knowledge, ability to learn and supervise.¹

The great majority of the officers in the Navy realize

¹ Plans for Rating Employees, National Industrial Conference Board, Inc., Studies in Personnel Policy No. 8, New York, June 1938, p.6.

the importance and necessity of fitness reports, and as soon as everyone realizes that they are "... (to) provide comparable estimates which can be treated statistically, and furnish convenient permanent records."¹, the better will be the spirit in which these evaluations are given and received.

Logically, one might well ask why this research was conducted. During the short period of the writer's service in the United States Navy, it has often occurred to him that the fitness reports which were submitted formed a profile of an officer. This profile would be judged by selection boards and detail officers and thus become the basis of success or failure in this officer's Navy career. Due to the idiosyncrasies of some raters and other circumstances, the writer's knowledge of his fitness report contents has been very meager and consequently the knowledge of the profile was vague. Looking at fitness reports long after the particular situation has passed is insufficient to determine wherein one excels and wherein one fails. During studies in personnel work, one is easily and quickly impressed with the significance of discussing the evaluations of employees, both in the executive group and in the worker group. The observations of several industrial situations confirm the idea that the discussion of evaluations has merit. The investigation

¹ Findings in Industrial Psychology, Bruce F. Moore and George F. Hartman, U. S. Government Printing Office, New York, 1951, p. 127.

presented in this paper is an attempt to discover if the requirement of discussions would benefit the Navy.

Major Variables

The form of the fitness report is standard throughout the Navy. It has been previously described¹ and a copy has been placed in Appendix A. During the preceeding fifteen years, the basic form of the report changed only once. At that time, about 1947, sections seven, eight and nine (a) were substituted for a graphic scale previously used which employed a numerical rating system. The form is submitted semiannually on the officers of all corps and at certain designated times.

The same form of the fitness report is used for all officers in the Navy regardless of their particular speciality, if one does exist. The officers of the Supply Corps, the Medical Corps and all Line officers are evaluated on the same form. Several of the items evaluated in section seven are applicable only to officers of the line and to them only in specific instances.

The construction of the form in many respects permits its use on large numbers of officers without regard to their particular speciality. The permissibility of the discussion of the completed report makes it easier to apply to this varied group of officers.

The instructions strongly encourage a discussion of the

¹ See above, pp. 7-8.

report before its submission to the Bureau of Naval Personnel for filing in the officer's record but, unfortunately the only question which the rater must answer is whether or not the report was shown to the ratee. There is a great difference between discussing a report with a ratee and showing it to him. The later procedure may involve anything from looking at the rough copy of the report after the original has been mailed to having the rater present the report to the ratee and inquire in an offhand or disinterested manner whether the ratee has any questions about the report as it was submitted. A discussion of a fitness report involves considerable time, personal interest and tact on the part of the rater. The average interview should require from fifteen to thirty minutes and the rater should discuss, as objectively as possible, each rating made on the evaluation and every statement made. If the ratee is doing superior work, he should be so informed and, on the contrary, if he is doing exceedingly poor, the way should be pointed out for him to improve.

Whenever a report is written on an officer, the question of "personalities" enters into the thoughts of some individuals. It is granted that for a variety of reasons there are some personalities which clash violently and result in biased evaluations. It is a reasonable assumption that clashing personalities constitute only a very minor percentage of the thousands of situations existing in the Navy. Some people confuse the personality of the individual with

the tact of the individual. It is of the utmost importance that the rater use all the tact at his command in interviewing ratees regarding fitness reports.

Morale is intimately connected with fitness reports. We all like to be praised for work performance which is outstanding, and, for normal individuals, we are anxious to know how we can improve subnormal performance. Morale, the word itself, is most difficult to define. Most people consider morale as the motivating force for cooperative performance, or, the attitude of the individual toward the group endeavor. To undermine morale in any manner is to destroy the essential element in effective team performance whether the situation be in industry or in the Navy. On the other hand, if we are able to enhance morale, we automatically improve team performance. The training which we have received in our democracy has indoctrinated us with the spirit of competition. We expect to receive credit for performances where it is due and we expect to be shown wherein our faults lie. The Navy possesses an excellent system for performing just this function if it is properly used. The fitness report, if discussed with the ratee in an objective manner, will serve the purpose admirably.

Other Viewpoints

No previous studies directly concerned with the problem of discussing evaluations have been found although studies on this subject doubtlessly exist. Two theses submitted in partial fulfillment of master's degrees relate to this sub-

ject in a vague manner. One written by E. L. P. Costello¹ in regard to the United States Civil Service Commission system of evaluation states that the instructions for evaluating individuals encourages a discussion between the rater and the ratee.

Another thesis written by L. C. Newhinney² surveys the forms used by various industries and compares them to the Navy fitness report. Newhinney surveyed fifty-eight different industrial concerns and found that only nineteen, or thirty-three percent, indicated that the ratings were discussed with the ratee by the rater or a specialist.³

Some of the many other points of view that may be held in this problem will be discussed. The most logical of these is to continue the present instructions regarding the use of fitness reports. Admittedly, the system has been in operation now for several years, and is apparently successful in fulfilling its mission. There are officers in the Navy, as well as comparable men in industry, who resist change as long as the present system can be used. The modification proposed in this paper does not radically change the system. Others will contend that by maintaining the status quo of present instructions regarding discussions of reports, no

¹ The Uniform Efficiency Rating System of the Federal Government, E. L. P. Costello, Unpublished Master's thesis at Northwestern University, Evanston, Ill., 1947, Ch.19.

² A Comparison of the U.S. Navy Fitness Report with similar merit rating forms used in business, L. C. Newhinney, Unpublished Master's thesis at Northwestern University, Evanston, Ill., 1947.

³ Ibid. p.17.

possible harm can come to the system. It is expected that this trend of thought will be proven fallacious by the field work performed in the report. Perhaps these officers are reluctant to be brought face to face with the situation.

Another point held by some executives is that evaluation of executives is such a theoretical problem that it is best to eliminate any type of evaluation. Under this system, the Navy would be brought back to the manner of promotion at one time in vogue in which no officers were eliminated from promotion, i.e. one waited until seniority placed him at the top of the list and then he was automatically promoted. Any system of evaluation is better than none at all. This would obviously be a backward step for the Navy.

Some officers would suggest a return to the system wherein all fitness reports were so "confidential" in nature that they were available only in the Bureau of Naval Personnel in Washington, D.C. Supporters of this theory feel that an officer will always exert himself to the utmost and therefore need not concern himself with his evaluations. They further contend that there is a definite breakdown of morale, especially for officers whose performance has not been at standard or above. The National Industrial Conference Board says about this system:

Every supervisor and executive knows superior employees who have resigned or lost interest because they felt their efforts were not being recognized. It is an accepted psychological principle that one of the strongest stimuli for self-improvement is a knowledge of one's own strengths, weaknesses and progress. A systematic rating plan provides super-

visors with the opportunity to supply this information to every employee clearly, honestly, and in such a way that it will be helpful.¹

Rating boards have been suggested at various times and are presently in use in several companies. Montgomery Ward and Company uses this system with great success. At least three and preferably five men senior to the ratee and well acquainted with his work performance constitute the rating board. This committee shares equal responsibility for the evaluation. One of the principle benefits from such a system is that the ratee, when his evaluation is discussed with him, feels more confident of an unbiased rating. The psychological effect on the employee is that if this large number of raters can agree on an evaluation, the evaluation must be reasonably accurate. This spurs the employee on to better performance. The committee system of rating cannot conveniently be applied to the Navy because so many of the Navy's units are scattered and small.

Composite evaluations made from the ratings of a group of officers both senior and junior to the ratee have been suggested. The success of such a system in industry has not been proven and it is doubtful if it would be of any value to the Navy.

The anecdotal rating method is relatively new to the evaluation field. Under this system, several typical anecdotes from the work performance of the ratee are written in

¹ Employee Rating, National Industrial Conference Board, Inc., Studies in Personnel Policy, No. 79, New York, 1942, p.4.

narrative form. Section 15 of the present fitness report is somewhat similar to this method of evaluation. No specific instances of this system being used successfully have been reported.

Chapter II

Statement of the problem

The problem is concerned with the advisability of revising the present instructions for completion of fitness reports in order to secure a more effective evaluation of the officers of the Navy, to improve morale and to clearly point the way for officer self-improvement. It is proposed that these aims may be accomplished through the requirement of a discussion of completed fitness reports between the rater and the rated.

The objective of this study is to determine whether or not a discussion of the completed report between the rater and the rated can enhance the value of the current fitness reports to the Navy.

Chapter III

The Experimental Procedure

In order to determine whether or not the discussion of fitness reports between the rater and the ratee is of value to the Navy or not, an attitude survey was conducted. The guided interview technique was employed in the personal interviewing of over half of the group of officer ratees used as subjects. The interview attempted to discover whether the ratees desire a discussion of their fitness reports, whether such discussion has benefitted any of the ratees in the past, and whether there were any other possible uses for the fitness report. The remaining subjects in the group were given instructions as to the desired manner of completing the questionnaire. All officers used as subjects were on permanent active duty with the Navy.

Interviews were also conducted with as many raters as practicable to determine their attitudes toward a discussion of the fitness report. These interviews attempt to discover the benefits that raters expect from the discussion and their criticisms and objections to such a technique.

A comparison of the contents of two groups of fitness reports was made to determine if any significant difference existed between those shown to ratees and those not shown to ratees prior to submission for filing in the Bureau of Naval Personnel.

The validity of the results of the experiment was controlled through the random selection of ratees to be

interviewed, in so far as this was practicable within the limited geographical area that could be covered. The questions were prepared so that they proceeded from the general to the specific and leading questions were eliminated to the greatest extent possible. The interviewing was conducted solely by the writer of this paper. The comparison of the fitness reports was done by random selection from the complete files at the Bureau of Naval Personnel in Washington, D.C.

A more complete discussion of the methods used in the experiment follows.

The determination of the equality or non-equality of fitness reports was made to find if the raters in the one group marked the reports differently than raters in the other group. A form was prepared, for abstracting the necessary information from the two groups of reports. A copy of this form is exhibited in Appendix A. One group was formed from those reports which had been seen by raters prior to their submission to the Bureau of Naval Personnel, the other group was formed from those reports which had not been seen by raters prior to their submission. The information abstracted consisted of all markings in sections seven, eight and nine (a) and a chronological check list of the comments in section ten (a). Additional information concerning the rank and grade of the rater was used for statistical control of race. For our purposes of this study, only the files of officers were used as some races were

Ensign through Lieutenant Commander.

The sample was obtained from the official current fitness report file in the Bureau of Naval Personnel, by selecting the first usable fitness report from each file drawer. The file drawers contain the records of all officers within the ranks desired in alphabetical order. Fitness reports that were submitted more than two years before the date of the investigation were eliminated as were reports submitted while the officer concerned was a student or in any other situation where there was no actual performance of duty. Only one fitness report was taken from each file.

The officer ratee subjects were interviewed individually within the Ninth Naval District or were instructed while there as to the manner of completion of the Ratee Questionnaire exhibited in Appendix B. It is regretted that a more homogeneous sample could not be obtained but the writer was rather strictly limited in the geographical area that could be covered. A majority of the interviews were conducted at Great Lakes Naval Training Station. The interviewer first put the interviewed at ease in order to establish easy communication. About thirty minutes were spent with each ratee. The questions were asked exactly as they appear on the form. The answers were recorded as nearly as practicable as they were spoken by the ratee. Upon completion of the interview, the interviewed was asked to review the answers as recorded to insure their correctness and then questioned as to whether or not there was anything more he wished to add to the

question sheet. The interviewed were informed that their names would not appear in conjunction with the writing of the project.

The interviewing of the raters followed much the same procedure as for the rtees. The major difference was in the form of the questionnaire. Two separate forms were used, copies of which are contained in Appendix I. One form was for raters who advocated the discussing of fitness reports, the other was for raters who did not advocate the discussion. After the preliminaries of the interview, the rater was asked his viewpoint regarding discussions of fitness reports, and the appropriate question sheet was used from then on.

In the review of the completed reports on file in the Bureau of Naval Personnel, approximately seventy-five reports were abstracted for each group. This number was considered sufficient to give a fair indication of any significant differences. The two groups were composed of those reports which the rtees had not seen and those reports which the raters had seen. Unfortunately there was no method of determining whether or not the report had been discussed. A similar situation existed among the raters interviewed. Some of the raters had seen their reports, but had not discussed them with the rtee. The number of reports interviewed was limited by the time available. It is recognized that a larger and more homogeneous group of raters might result in

entirely different conclusions than those of this paper. The number of raters interviewed is not of primary concern inasmuch as the main attempt in their case was to uncover some of the typical objections to the procedure and to uncover some of the benefits found by those raters who do discuss the reports.

The factor of motivation on the part of all interviewed was excellent. The cooperation of the majority of officers was above what had been expected. It is strongly felt that the cooperating officers felt that any project conducted for the Navy was to their best interests. Many of them exhibited a keen interest in the problem and discussed it with the writer at great length.

Chapter IV

Analysis of Questionnaires for Rates

A copy of the form used for interviewing rates is in Appendix A. Most of the questions asked the ratee could not be easily answered with a categorical yes or no. Therefore, the ratee, having answered the question by yes or no, was asked his reasons for so doing. The general areas covered by the questions, except those designed solely for identifying the groups, i.e., questions numbers two and three, were those which the investigator has found various industrial concerns covering in their executive evaluations and which the investigator feels would probably be covered fully in interviews regarding the completed fitness report between the reporting officer and the ratee. They are areas to which the fitness report is easily adaptable for coverage and areas which the successful administrator considers in the evaluation of an individual. They likewise are areas with which the ratee must be thoroughly acquainted in order to improve himself, and in this particular case the Navy in general. The areas include the reason for the fitness report system, improvement of the ratee, social capability of the ratee to work situation, evaluation of the ratee and status rate of the rater.

The completed questionnaires will conveniently fall into three categories, those who have not seen their last fitness report, those who have, or those who had their last fitness report and those who had had their last fitness report dis-

discuss with them. The total numbers falling into each of these categories were, twenty-five who did not see the report, forty-four who had read the report and eleven who had had the report discussed with them. Since there were only eleven in the third group, the last two groups were combined. There is some similarity existing between these groups since in each instance the rated officers were aware of the rating.

The officer subjects for this survey were obtained within the Ninth Naval District.¹

	Line	Aviation	Staff	Total
Lieutenant Commander	3	10	2	15
Lieutenant	16	3	5	24
Lieutenant (junior grade)	20	3	9	32
Ensign	6		1	7
Total	45	16	17	80

Table 1. Rated Subjects by Rank and Broad Classification

Approximately one half of the questionnaires were completed through personal interview of the investigator with the rates. The other half of the questionnaires were completed after a thorough broad verbal explanation to the group collectively and through a memorandum issued with each questionnaire. Through separate tabulation of the answers submitted by the two groups it was evident that little differ-

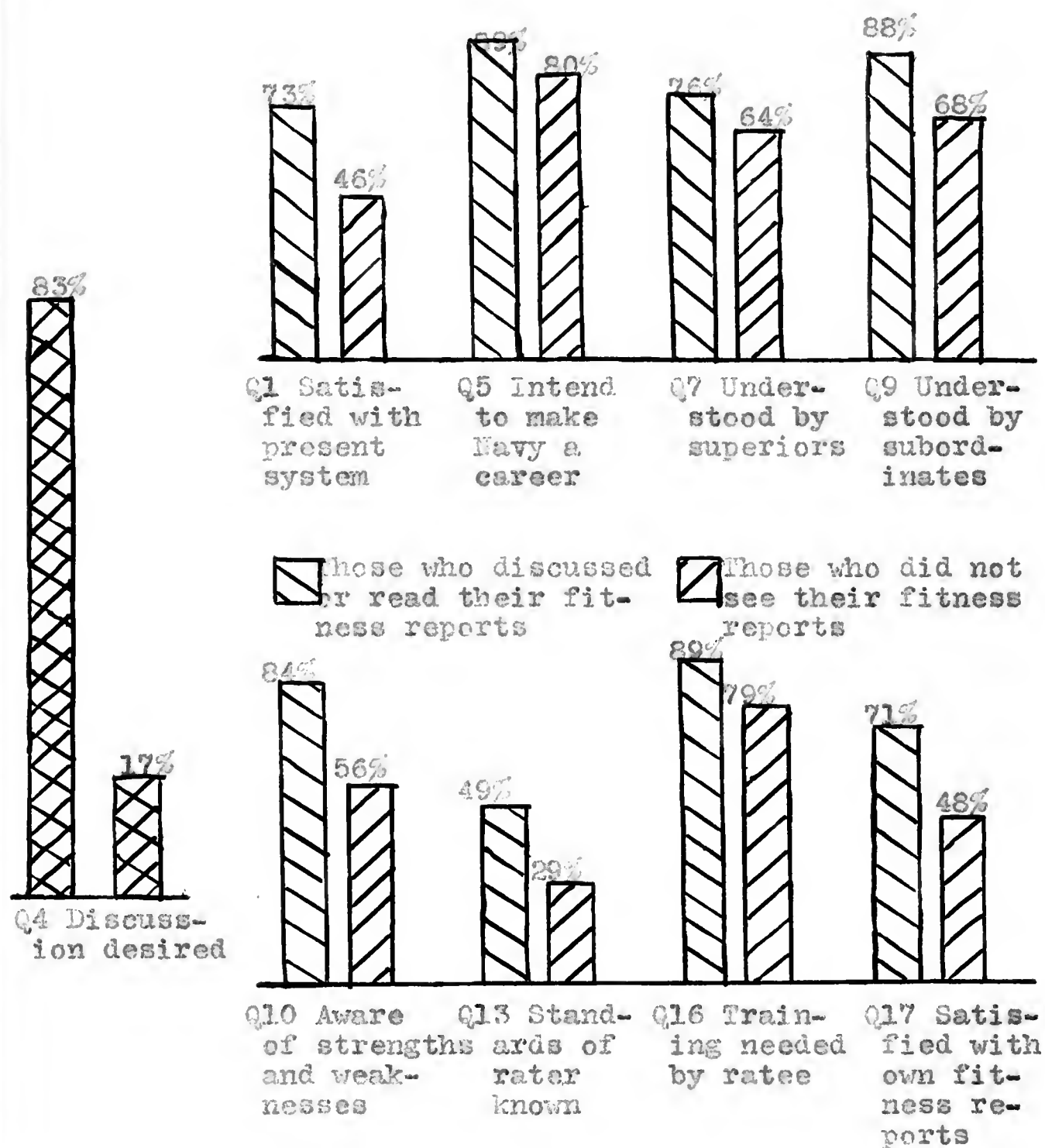
¹ See above, p. 23.

once existed between them, except that those who were instructed collectively tended to omit a larger number of answers through failure to completely understand the question.

Question number one asked for the attitude of the ratee toward the fitness report system. If the ratee fully understood the reasoning behind the fitness report system, and the known faults of the system, he may offer constructive criticism or approve the system. An understanding of the system can be achieved through a discussion of the fitness report. Seventy-three percent of the ratees who read or discussed their reports felt that the system was satisfactory or offered constructive criticism while forty-six percent of those who had not seen their reports felt the system was satisfactory.¹

Question number four inquired as to the desirability of a discussion of completed fitness reports. There was an overwhelming majority of the group in favor of the discussion, eighty-three percent. The major reason given by those who did not approve the idea was that it was too time consuming. This reason is entirely invalid because the improvement of executive personnel is the goal of every successful administrator and any means used to obtain this goal is worthy of the time applied.

Question number five asked whether or not the ratee intended to do for all his subordinates as he had been treated.



Graph 1. Comparison of Percentages of Answers Received from Ratees.¹

¹ Complete numerical tabulations contained in Appendix C.



tended presently to make a career of the Navy. Eighty-nine percent of those who read or discussed their reports do intend to make a career of the Navy, while eighty percent of those who did not see their reports intend to make it a career. Although this difference is not particularly significant, the secretiveness of fitness reports may be a contributory cause to resignations from the service.

Questions numbers seven and nine inquired into the social compatibility of the ratee to the work situation.

Question number seven asked if superiors had a fair understanding of the ratee's capabilities and limitations. Seventy-six percent of those seeing or discussing their reports answered in the affirmative. Only sixty-four percent of those who had not seen their fitness reports answered affirmatively. A discussion of the fitness report greatly assists both the rater and ratee in understanding completely the capabilities and limitations of the ratee. It is interesting to note that only one out of eleven who had discussed their reports answered this question negatively.

Question number nine asked if subordinates had a fair understanding of the ratee's capabilities and limitations. Eighty-eight percent of those seeing or discussing their reports felt that their subordinates understood their capabilities and limitations while only sixty-eight percent of those who did not see their reports felt this way. It is entirely probable that those who are fully acquainted with the manner in which superiors observe their work has a direct bearing

on their working with subordinates and the latter's understanding of the ratee's capabilities and limitations. When those who had discussed their reports are taken separately, none of these officers expressed a negative answer.

The tenth question inquired whether or not the ratee was aware of his personal strengths and weaknesses. A total of eighty-four percent of those who were fully acquainted with their evaluations answered affirmatively. Fifty-six percent of those who had not seen their reports answered affirmatively. Although most of the reasons were based on "past experience" or personal inventory, it must be assumed that knowledge of fitness report contents played a significant role in this determination by the individual.

Question number thirteen inquired about the knowledge of the ratee of the standards set up by the rater for him to meet as a Naval Officer. The standards referred to here were not particularly those required by Navy regulations or other official publication, but those intrinsic standards set up by each individual rater within his own unit. Perhaps they would be more adequately described as the personal standards of the rater or the rater's standards of ethics within his profession. Forty-nine percent of the ratees who had complete knowledge of their evaluations felt that they knew the standards of their rater while only twenty-nine percent of those who had no knowledge of their reports could say that they knew the standards of the rater. One of the most effective methods for communicating the standards of

any command to the effect that within the command is through discussions. The fitness report discussion is an ideal time and place for the communication or reiteration of such standards, and failing that, simple knowledge of the contents of the fitness report is a method.

Question number 13 in regard to training which the rater would request if given the opportunity showed a slight but significant difference in that eighty-nine percent of those who were aware of their fitness report contents could choose their trainee as opposed to seventy-nine percent of those who had not seen their fitness reports. In the discussion of the fitness report, the rater should point out the methods whereby the ratee can improve himself in his various weaknesses.

Question number fourteen asked the rater's opinion of the representativeness of his fitness reports to interested persons at the arena of naval personnel. Seventy-one percent of those who had read or discussed their reports felt that the representation would be proper while only forty-eight percent of those who had not seen their fitness reports answered affirmatively. Further, all of those who had had their fitness reports discussed with them felt that the reports would represent them properly. Confidence in the operation of any system is necessary on the part of all participants. This lack of confidence in how well the fitness reports represent their results from a lack of discussion and training in the use of the system.

Questions numbers six, eight, eleven, twelve and fifteen failed to show any significant differences between the groups. It appears that the questions do not relate directly to the matter contained in fitness reports.

The results of this survey have demonstrated that the discussion of the fitness report, or failing that the showing of the fitness report to the ratee, would enhance the understanding and confidence of the ratee in the fitness report system, satisfy the natural desires of the ratee, make the social compatibility of the ratee in the work situation more desirable, assist the ratee in finding his strengths and weaknesses and point out the training needed to improve the professional ability of the ratee.

Chapter V

Analysis of Questionnaires for Raters

It is mandatory in any study of this character that the opinion of all concerned with the proposed system be sought out and evaluated. The raters were questioned using the forms exhibited in Appendix B. The tentative dividing line between the raters and the ratees was drawn at the rank of Lieutenant Commander because officers of this rank and below were more accessible within the area. It was not the intention of this study to draw conclusions from a biased group as might appear but because expediency demanded the use of the particular ranks chosen. Inasmuch as most officers of the rank of Lieutenant Commander and higher are in positions where administrative responsibility requires that they evaluate subordinates, their opinions were sought out in the category of raters.

The procedure¹ and locale² of the interviews have been previously described. The questionnaires attempted to discover the attitudes of the raters toward the fitness report system in general, why the raters do or do not discuss fitness reports, the procedure of discussions, other values of the fitness report, methods used to communicate the rater's standards of performance to the ratee, the observed effect of the discussions on the rater, the ratee and the unit,

¹ See above, p.23.

² Ibid.

possible differences between discussions within units afloat and ashore, and the rater's objections to a required discussion.

The sample chosen consisted of a total of eleven officers, eight of whom advocate the discussion of fitness reports with the ratee and three of whom do not.

	Number	Average Years Commissioned Service
Captain	2	22.5
Commander	5	16.0
Lieutenant Commander	4	5.0

Table 2. Rater Subjects by Rank and Average Years Commissioned Service.

It is regrettable that a more complete sample was not available to the writer but lack of sufficient time was the major reason for the insufficiently broad sample.

In expressing their attitude toward the fitness report system in general, only two of the group thought it satisfactory. Four of the raters thought the system needed a complete revision. The major objections to the report form fall into three groups. First, the percentile rating system used in sections seven, eight and nine (a) should be eliminated as it does not select officers and the categories are not fully descriptive of officers. Second, the present form is biased in favor of a satisfactory report making it difficult for the rater to submit an unsatisfactory report. Reference was made here particularly to sections seven,

eight and nine (a). Third, raters are either unable or unwilling to place in writing their true opinion of the ratee. The writer is of the opinion that the latter two of their objections can be overcome through instruction in the proper methods of preparing fitness reports and through the discussion of reports between the rater and the ratee. The first objection has been validated in so far as the failure of the system to select officers,¹ and it is the writer's opinion that unless the objective measurements are either changed to conform with specific positions or are given more careful descriptions that they should be deleted entirely. One rater suggested that only a written description of the officer be required. This would be a greatly enlarged section twelve of the present form and would be similar to the anecdotal rating method.²

Raters who discuss fitness reports with ratees appear to do so for two primary reasons. First, is to inform the ratee of the rater's opinion of his work performance and thereby improve morale. Second, is to compliment good work performance and to offer constructive criticism in the case of substandard work performance indicating the proper methods for improving the ratee's performance.

The general procedure for a discussion by the raters seems to be standardized. The rater chooses an appropriate

¹ See below, p.44.

² See above, p.18.

time and place for the discussion, and puts the rates at ease prior to commencing the discussion. The general contents of the report are taken up and then specific points as desired by the rater or the ratee. The discussion is made as objective as possible and "personalities" are eliminated as much as practicable. Constructive criticism is offered by the rater and the methods for improving the ratee's work are discussed. The interview must end on a note of mutual confidence and respect by both parties and it is the rater's responsibility to insure this.

Four raters in the group offered at least possible uses of the fitness report besides the routine selection and assignment purposes. These uses were to provide an opportunity to offer constructive criticism where necessary, to communicate the standards of performance expected by the rater of the ratee, and to enhance the understanding between the rater and the ratee. It is the writer's opinion that all of these uses are consistent with the prescribed uses for fitness reports and may be conveniently accomplished by an interview.

Of those raters who had discussed their fitness reports with the ratees, six out of the eight reported that the general effect on the ratee had been good and the same number reported that they felt the problems had been somewhat solved by the discussion. None of the raters reported a negative effect on discipline as a result of the discussions, but all reported that there existed a small percentage of persons who refused to be disciplined.

Five of the eight raters who had discussed fitness reports reported that at some time they had encountered a feeling of inadequacy or embarrassment during the discussion. But, they felt that this was due mainly to inexperience. Six of this group felt that they had a better understanding of the ratee after the discussion, while the other two said that they had formed their opinions before the discussion. None of these raters felt that the time required to discuss the report had been wasted.

Only two of the raters in the entire group thought that a discussion of fitness reports should be mandatory for the entire Navy. The major objections to such a regulation were the rater's lack of training in such a procedure, the impracticality of such a procedure in many commands where there are a large number of ratees, the tendency to treat the procedure as routine, and special circumstances surrounding many cases. Several were emphatic in their desire that all fitness reports be shown to the ratees in any case.

Three of the raters were of the opinion that the situation at sea was different from that ashore. The principle reason for the difference they thought was in the different living conditions that exist.

In summary, the raters, in general, are not wholeheartedly in support of the present fitness report system, they use the fitness report discussion for communicating to the ratee their desires as to performance, they have noticed many benefits to be derived from the discussion, the great majority of the

ratees accept the discussions as they are intended, and they feel that there is no great difference between the situation afloat and ashore. The raters, in general, do not desire to see the discussion of fitness reports become mandatory. The raters support the idea of discussions but prefer to leave the decision as to whether or not the discussion should be conducted up to the rater in his particular situation.

Chapter VI

Analysis of Fitness Report Comparisons

The form used for abstracting the material from the fitness reports on file in the Bureau of Naval Personnel is exhibited in Appendix B.

The form was devised to obtain the data recorded in sections seven, eight, nine (a) and twelve. The abstraction of the data contained in sections seven, eight and nine (a) was easily accomplished by the exact transfer of the data from the fitness report to the form. For section twelve, however, it was necessary to rate categories for the written material in order to record it. Nine categories were allowed for, with four degrees in each for comments about the officer. Inasmuch as the great majority of fitness reports seem to be stereotyped, this form for placing the remarks in categories appeared to be sufficient. An example of the use of the form will be given here. If the comments in section twelve were:

Lieutenant Smith has carried out his duties as Gunnery Officer of this ship in an excellent manner. He has a likable personality and handles his division well. He has developed methods for performing the routine reports of the Gunnery Department which are outstanding. Lieutenant Smith's conduct and loyalty to the service are above reproach.¹

The form would be checked in the favorable comment column once each in for ability, leadership, responsibility, Conduct, loyalty, and service, and for section 12.

duct, Work Methods and Work Performance.

Fitness reports are received by the Bureau of Naval Personnel at a rate of over 7,000 per month. The reports received on a typical day for the ranks of Lieutenant Commander through Ensign were analyzed with respect to the number shown to officers before submission to the Bureau and for the numbers received from commands afloat. Table 3 gives a summary of this information.

	Commands Afloat	Commands Ashore
Reports shown to ratees.	75	67
Reports not shown to ratees.	15	24

Table 3. Fitness Reports received at the Bureau of Naval Personnel on 10 June 1948 grouped by Command and reference to Ratee.

An analysis of Table 3 results indicates that twenty-two percent of fitness reports are not shown to the ratees. If those reports not shown to officers because of unavoidable difficulties are eliminated, the percentage would probably be nearer fifteen.

In selecting one fitness report from each file drawer to obtain the sample, the first usable report was selected until a sufficient number was obtained for each rank and classification. When approximately representative numbers were obtained for each group, any additional fitness reports falling into the group were eliminated and the next usable

one in that file was selected. In the opinion of the writer, the selection technique used in obtaining the sample was valid however, a more accurate sampling with entirely different results might well be obtained by an experienced researcher.

All reports in both groups were classified by the rater as satisfactory but, it was observed in the case of two of these reports that the Bureau of Naval Personnel reclassified the reports as unsatisfactory and returned them to the ratee for the letter required by Navy Regulations in connection therewith. Both reports were retained in the rater's original classification for the purposes of this study. It must be realized that about ninety-nine percent of all fitness reports received in the Bureau are classified as satisfactory.

A total of seventy-six reports that had not been seen by the ratees at the time the reports were submitted to the Bureau of Naval Personnel were selected.

	Line	Aviation	Staff	Total
Ensign	8	5	1	14
Lieutenant (junior grade)	12	10	6	28
Lieutenant	10	6	6	22
Lieutenant Commander	3	4	5	12
Total	33	25	18	76

Table 4. Group of Fitness Reports not shown to ratee by rank and Broad Classification.

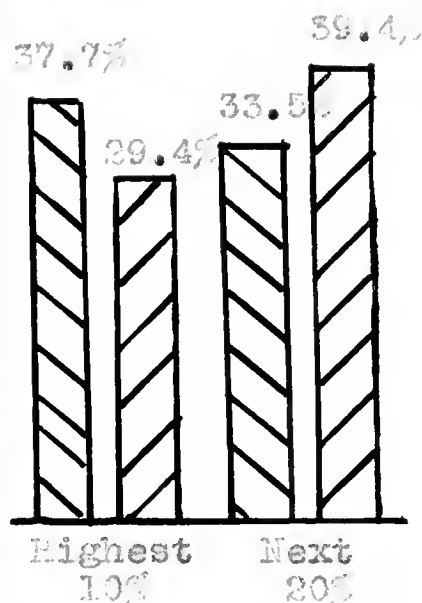
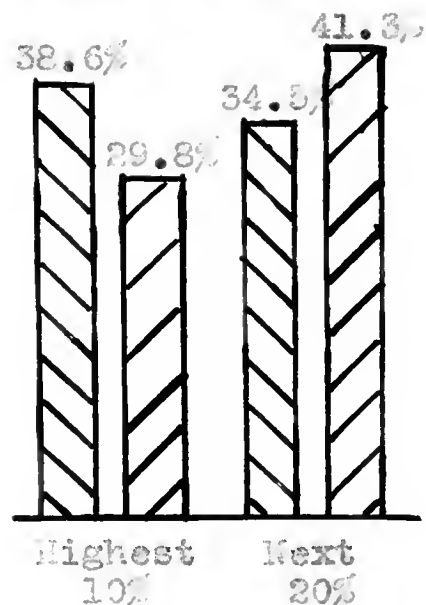
A total of eighty-four reports that had been seen by the ratees at the time the reports were submitted to the Bureau of Naval Personnel were selected.

	Line	Aviation	Staff	Total
Insign	7	8	2	17
Lieutenant (junior grade)	10	14	4	28
Lieutenant	7	9	9	25
Lieutenant Commander	5	4	5	14
Total	29	35	20	84

Table 5. Group of Fitness Reports shown to ratee by rank and broad classification.

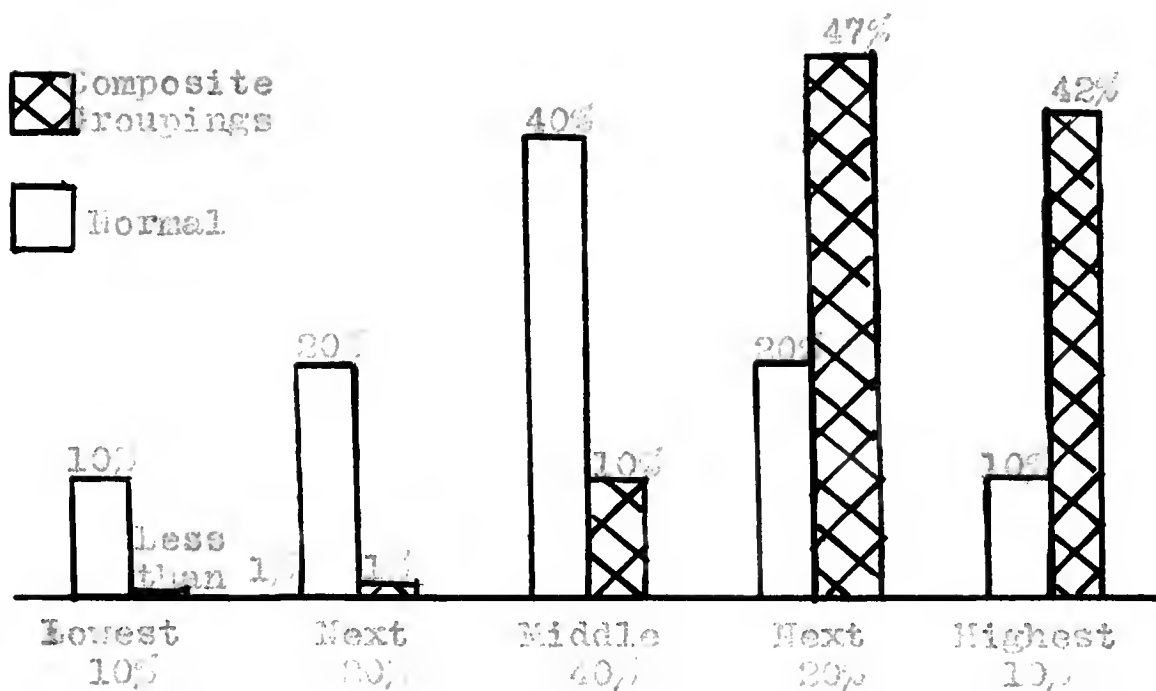
It should also be noted that on only one report in both groups was there a statement that the report had been discussed with the ratee. However, this must not be taken as an implication that only one report out of 166 is discussed.

The results of the survey for sections seven, eight and nine() are presented on the succeeding page in percent form for easy comparison. A comparison of the results statistically shows that the groups differ significantly only when the total marks in each percentile grouping are totaled for section seven and then totaled for sections seven, eight and nine(). The statistical difference shows there is a significant difference between the number of marks in the highest to percent column and the next 1 or 20 percent column. In both cases, the reports of those who have been the tend to be placed in the 100 to percent column.

Total Markings in
Section SevenTotal Markings in
Sections Seven,
Eight and Nine(a)

Composite
Groupings

Normal



Combined groups vs. Expected Groups
(Not observed column eliminated)

Graph 2. Comparison of Marks in Sections Seven, Eight and Nine(a) of Fitness Report Groups.¹

¹ See Appendix D for numerical tables.

ing and the reports of those who have not seen them tend to be marked in the next lower twenty percent grouping. The differences in percentages are beyond three standard deviations and are thus beyond the normal sampling error.¹ It is not felt that this small difference in percentages affects this study in spite of the fact that it is beyond the normal sampling error. It is possible that raters tend to mark the ratee higher if they are aware of the forthcoming discussion or perusal of the report with or by the ratee.

When both groups of reports are combined, the resulting curve from the total marks in the percentile groupings of sections seven, eight and nine(a) is badly skewed to the right.²

The results of the survey for section twelve are presented in Table 6 showing the percentages of remarks in each category for both groups.

An examination of the tabulated results for section twelve from the statistical viewpoint leads to the conclusion that there is no significant difference between the quantity or type of remarks placed on the fitness reports in either group.

The comparison of the total number of remarks placed in section twelve of each group is presented in Graph 3. There is a trend which although not significant is indicative.

1 See Appendix A for calculations.

2 See above p.44.

	Favorable Comment	Neutral Comment	Constructive Criticism	Negative Criticism
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Ratees who have seen their fitness reports.

Personality (Character)	29.3	0.5	0.3	
Leadership	6.7	0.5	0.5	
Responsibility	6.1	1.5	0.3	
Conduct	0.5			
Work Methods	11.8	1.1		0.3
Work Performance	21.8	3.1	0.5	0.3
Ability	13.9	0.5	0.3	
Specific instances of performance not included above	0.3		0.3	0.3
Others	0.3			

Ratees who have not seen their fitness reports.

Personality (Character)	27.4	0.7		
Leadership	7.7	0.3		
Responsibility	4.0			0.3
Conduct	0.3			
Work Methods	11.4	2.0	0.3	
Work Performance	20.8	5.7		
Ability	16.1	1.0	0.7	
Specific instances of performance not included above	1.0			0.3
Others				

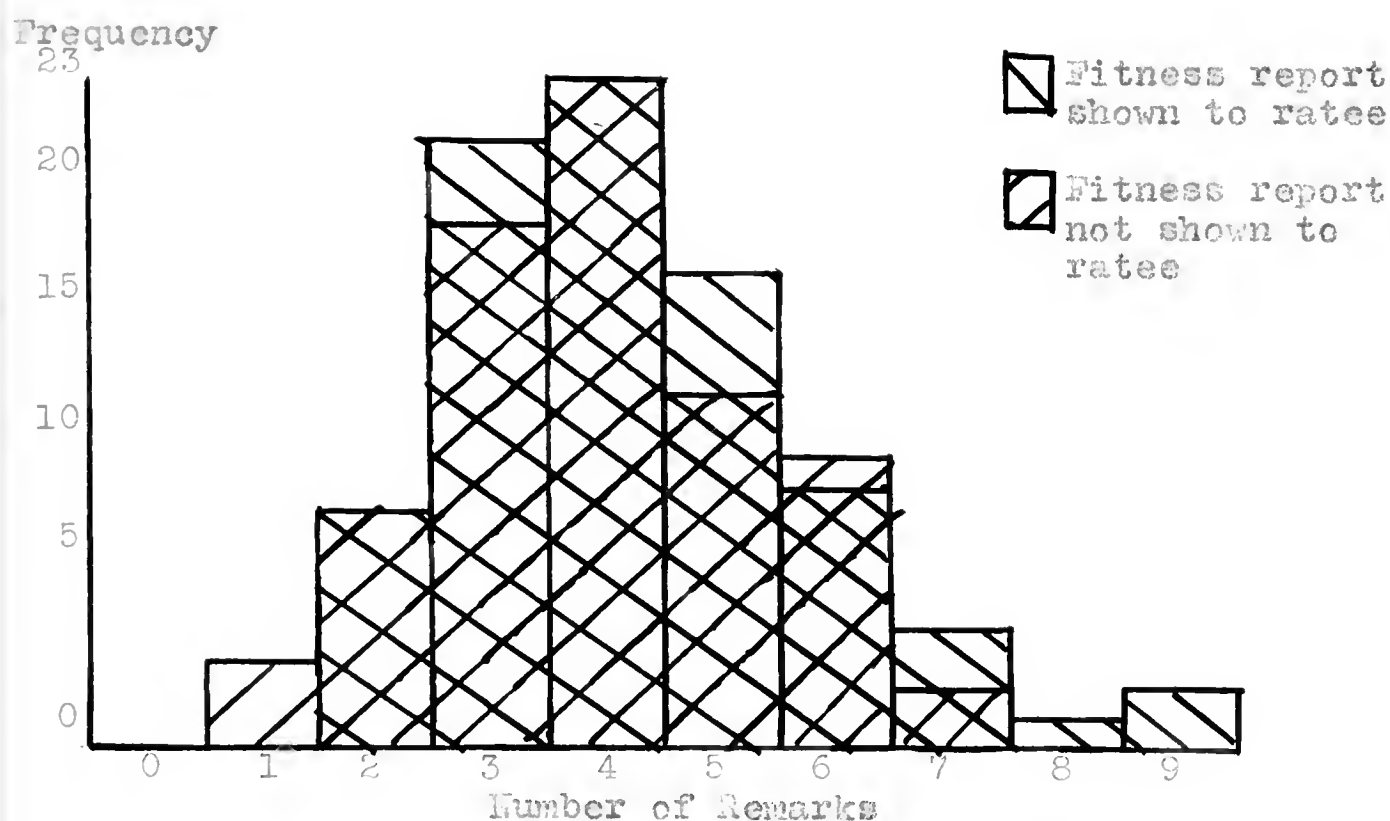
Table 6. Percentages of Statements in each Category for
Section 1¹ of Fitness Report Groups.

An inspection of the graphs shows the trend of those
raters who show fitness reports to the ratee prior to sub-

¹ See Appendix D for numerical table.

mission to the Bureau of Naval Personnel to be inclined toward a larger number of remarks about the ratee. The modes and medians of both frequency distributions are four, but the arithmetical average of the group of ratees who saw their fitness reports is 4.28 as compared with 3.94 for the group who did not see their reports.

The next logical question to be answered is what bearing this survey has on the hypothesis. The survey was conducted to determine if any significant differences existed between the fitness reports of those officers who saw them before



Graph 3. Comparison of Number of Remarks in Section 12 of Fitness Report Groups.¹

¹ See Appendix D for table.

submission to the Bureau of Naval Personnel and those who did not see them. It may be concluded that there is no significant difference existing between the two groups. The minor tendencies toward certain types exhibited by both groups are not considered sufficient to warrant any other conclusion. Inasmuch as the groups were equal and the fitness reports were substantially equal, it may be further concluded that showing the fitness reports to the ratees makes no significant difference in their content.

Chapter VII

Inferences from Survey

The results obtained from the rated questionnaire show four important trends in the thinking of the rates. The foremost is the lack of the rates' confidence in the present fitness report system. This is an appalling condition. This investigation suggests that the absence of appropriate training in the use of the fitness report system on the part of all officers in the Navy contributes directly to this condition.

The morale of rates can be vastly improved through the removal of all veils of secretiveness from the fitness report. As shown by the study, eighty-three percent of the rates desire an interview after their fitness report is completed. The withholding of information of this nature naturally leads the rates to mistrust of the rater, he feels that the rater is keeping from him an evaluation which the rater is ashamed to display because it is such a poor one.

The study indicated that perhaps the social compatibility of the rates could be enhanced by knowing how others view his work performance.

Finally, the opportunity time for communicating rates on their past work performance and pointing the way in which they can improve their performance through constructive criticism is at the time fitness reports are submitted. It should be pointed out that the rates are not informed of this opportunity to discuss their performance until a fitness report is due for submission, but rather that of the fitness report is

the report is submitted will perform no harm and may cause the ratee to be more deeply impressed especially with constructive criticism.

All of the inferences listed above may be brought into action through the discussion of completed fitness reports between the rater and the ratee.

A total of four inferences may be drawn from the rater questionnaire. The first is the lack of understanding of the system as it is presently used. It is the writer's opinion that many of these misunderstandings would be alleviated if an intensive drive was placed on training in the proper method of using fitness reports.

The probable need for a revision of the present form to make it more selective of officers, especially in sections seven, eight, and nine (a) was indicated.

Raters who have discussed fitness reports have found that they and the entire Navy can easily benefit from using the fitness report for purposes other than simple selection and assignment. Among the chief benefits are the more complete understanding that can be brought about between the rater and the ratee and the opportunity for complimenting the ratee's work or offering constructive criticism.

The raters strongly indicated that they desired the discussion be left to the discretion of the raters and not be made mandatory.

The comparison of the fitness reports of the two groups

brought to light three particularly significant items. The most important was that sections seven, eight and nine (a) fail to select officers. Officers cannot possibly be selected when ninety-nine percent of all marks are listed in the upper seventy percentile brackets and eighty-nine percent are listed in the upper thirty percentile brackets.

The meagerness of information contained in section twelve of the fitness report is a detriment to the entire system. It is the writer's opinion that if the discussion of fitness reports was required there would be a more adequate description of the ratee in this section.

There was no significant difference between the two groups of reports investigated except a small indication that those shown to officers tended to be marked in the higher bracket. It is apparent that whether reports are shown to officers or not makes very little difference in the preparation of the report.

Chapter VIII

Suggestions for Further Investigation

The outstanding topic which arose in this survey was the possibility of devising separate rating forms for each corps within the Navy and with separate criteria for the measurement of each corp's particular types of duties. One subject even suggested that separate criteria be established for each type of position within the Navy. There is some merit in the first of these suggestions in the writer's opinion.

The need for a training pamphlet for use in connection with the preparation of fitness reports has been evidenced several times in the survey and has been indicated in the inferences.

Reviewing of fitness reports by an officer senior to the rater as a means of holding the rater within reasonable limits has been suggested. This may have some merit.

The success of the committee system in certain industrial concerns proves that it has much merit. Although it was previously pointed out that the character of the Navy organization prevents the operation of such a system, it may be feasible in certain units within the Navy.

Chapter IX

Conclusions and Recommendations

Conclusions

The value of fitness reports to the U.S. Navy can be enhanced by strongly encouraging a discussion of completed fitness reports between the rater and the ratee because:

- (1) The morale of the ratees would be greatly improved.
- (2) The showing of fitness reports to ratees has not changed the rater's opinion of the ratee's work performance appreciably; therefore, it must be assumed that a discussion will not change the rater's opinion but would probably require him to express it more fully in the report.
- (3) The training in evaluating work performance received by the ratee in the discussion would improve his understanding of the system and his own ability to evaluate others properly when the occasion arises.

Recommendations

The specific recommendations as a result of this survey are:

- (1) An investigation should be instigated by the Bureau of Naval Personnel for the purpose of determining the value of a discussion of fitness reports under much better controlled conditions than were feasible in this study. Should such a study be conducted, it is recommended that special attention

be given to the value of sections seven, eight and nine (a) of the present fitness report form to the Navy. The discussion of fitness reports should be encouraged and space should be allotted on the form for indicating whether or not the completed report had been discussed by the rater and the ratee jointly.

- (2) The reference of fitness reports to the ratees prior to their submission to the Bureau of Naval Personnel has been shown to be highly desirable by this particular group of subjects. Should further investigation in this area confirm these results, it is recommended that the service be informed of the advantages found and a thorough trial be given prior to requiring the procedure.
- (3) While the present instructions regarding the uses and methods of the fitness report system have been considered adequate for many years, it is the writer's opinion that a more extensive description of the system, its uses, methods and definitions would be invaluable as a training device for the improvement of fitness report contents and uses. A procedure for the conduct of a discussion of the completed report between the rater and the ratee should be included for the guidance of those raters who desire its benefits.

Chapter X

Summary of Survey

This survey was undertaken to attempt to discover whether or not the Navy Officer Fitness Report system could be improved through requiring a discussion of the completed report between the rater and the ratee. After surveying the available literature and investigating several industrial concerns, the writer found the use of a discussion rather widespread in progressive companies and highly recommended in the literature.

The problem was attacked from three directions. First, a group of ratees was interviewed to determine their attitudes toward the discussion and its associated benefits and their attitudes toward the fitness report system.

Second, a group of raters were interviewed to determine their attitudes toward the same aspects as those for the ratees and in addition their attitude toward a required discussion.

Third, a group of fitness reports on file in the Bureau of Naval Personnel were analyzed to determine if any significant differences existed between those shown to ratees and those not shown.

The results of the surveys showed that the discussion of fitness reports between the rater and the ratee should be strongly encouraged but not made mandatory. The ratees overwhelmingly desire a discussion of their fitness reports. The discussion of fitness reports will probably improve the

descriptiveness of the report, enhance the mutual understanding and respect of both the rater and the ratee, train the ratee in the evaluation of men and improve the morale of the ratees.

The survey brought into sharp relief the appalling lack of confidence throughout this group of officer personnel in the fitness report system and highlighted the need for revision of sections seven, eight and nine (a). It is the opinion of the writer that the former can be alleviated through an intensive training program in the use of fitness reports and through strong encouragement of the discussion.

The specific recommendations derived from this survey are:

- (1) An investigation should be instigated to determine the value of a discussion of fitness reports under well controlled conditions. Special attention should be given in such a study to the value of sections seven, eight and nine (a) of the present fitness report form to the Navy.
- (2) The discussion of completed fitness reports should be strongly encouraged and space should be provided on the form for indicating whether or not a discussion was held.
- (3) The reference of fitness reports to ratees appears to be highly desirable. Should further investigation confirm this study, the advantages of such a procedure should be promulgated and tested throughout the service before requiring compliance.

- (4) It is the writer's opinion that a more extensive description of the fitness report system would be an invaluable training device for the general improvement of the system.

OFFICER'S FITNESS REPORT INSTRUCTION SHEET

IMPORTANT INSTRUCTIONS—READ CAREFULLY

GENERAL INSTRUCTIONS

The attached revised Officer's Fitness Report is to be used in place of the old forms, NAVPERS 310 and 311.

This form serves the following purposes:

1. It serves as a report of fitness for all officers both afloat and on shore.
2. The first carbon—(Page 2)—keeps up to date in BuPers the Officer's Qualifications Questionnaire, which provides the Bureau with information covering each officer's previous experience and qualifications for various types of duty.
3. The second carbon—(Page 3)—provides data covering changes in the officer's qualifications and is to be filed in the Officer's Qualification Record Jacket as an aid to Commanding Officers and Personnel Officers in assigning him properly.

This form is to be submitted semi-annually for all officers (quarterly for Commanders and Captains in command of units afloat, individual ships or operating commands) and in all cases of permanent detachment of either the officer or reporting senior. Special reports on this form will be submitted **ONLY** at the following times:

1. When directed by higher authority.
2. When officer is recommended for trial by General Court Martial.
3. Upon receipt of orders for officer to report to Bureau of Naval Personnel for disciplinary hearing.
4. When requesting detachment of officer (attach to request).
5. Upon recommendation that officer be disenrolled.
6. When specifically directed by Bureau of Naval Personnel.

A typewriter is to be used when at all possible in filling out Sections 1 through 6. Since 96% of all fitness reports received in BuPers are typed, the form has been constructed for that type of preparation. Care should be exercised that the carbon copies are legible if a typewriter is not used.

INSTRUCTIONS FOR REPORTING OFFICERS

In deciding on promotions of officers, Selection Boards must, in effect, compare an officer with others of the same rank rather than with more arbitrary standards. You will note that in Section 7 and subsequent sections you are asked to do just that — compare each officer with all others of the same rank and corps whose professional abilities are known to you personally. Please note that the officer is not to be compared only with the others of his rank now under your command. For this reason, it is important to indicate in Section 9b how many officers are included in the group you use for comparison.

In making this comparison, keep in mind that the group of officers whose professional abilities are known to you personally (or any other group of people) will fall into a normal distribution when graded on any trait or factor—that is, there will be a small number at the lower end, a

larger group in the middle, and a small group at the top. With this curve in mind, compare the officer with the group and mark him on each factor in Section 7 as falling in one of the five brackets—the lower 10%, the next 20%, the middle 40%, the next 20% or the top 10%. Do not hesitate to mark "not observed" on any factor which you think not applicable to the duty in which you have observed the officer or in which your observation has been too limited to warrant judgment.

No entry which is made in Section 7 will be considered an unsatisfactory report. Only adverse comment in Section 6 and entries so designated in Sections 8, 9, 11 and 12 will be so considered.

An unsatisfactory report must be referred to the officer reported on for his statement which is to be attached to the report of fitness. In any case open to question as to what constitutes an entry of an unfavorable or unsatisfactory nature the officer will always be given the benefit of having seen the report. (See Article 137 Navy Regulations, General Order No. 62, and BuPers Manual Article C-1006).

The Bureau desires that reporting seniors make every effort to show each fitness report to the officer reported upon and to discuss it with him, in so far as practicable. In this connection please note the instructions in Section 12 which provide that statements of a constructive nature which refer to minor imperfections or lack of qualifications do not constitute an unsatisfactory report. On every report of fitness, the reporting senior will indicate under Section 12 whether the officer reported on has or has not seen the report.

The reporting senior will sign all three pages of the report in the lower right hand corner, or will sign the original and designate a commissioned officer, preferably senior to the officer reported on, to authenticate Pages 2 and 3 in lower right hand corner. The officer reported on may sign and retain Page 3, inserting same in his qualification jacket, if he is geographically detached from the reporting senior.

The Officer's Fitness Report (Page 1) and the Officer's Qualification Report—BuPers Copy—(Page 2) are to be forwarded—not separated—to BuPers. The Officer's Qualification Report—Jacket Copy—(Page 3) is to be detached and filed in the Officer's Qualification Record Jacket.

Fitness Reports are to be submitted promptly and their preparation is one of the most important and responsible duties of superior officers. Failure to prepare them objectively is detrimental to the efficiency of the Navy. If not submitted promptly, the rights of the officer reported on may be prejudiced. The fitness of an officer for the service with respect to promotion and assignment to duty is determined by his record.

INSTRUCTIONS FOR OFFICER REPORTED ON

It is your responsibility to fill out Sections 1 through 5 of this form and to sign all sheets in the lower left-hand corner. Submit the form to your reporting senior at the times specified in the General Instructions above. Use a typewriter, if at all possible—if not, use ink, but be sure that all copies are legible.

NOTE: For convenience there is printed on the back of these instructions a work sheet which may be used as a draft in preparing the carbonized set. The work sheet is to be detached before filling out the carbonized set and is NOT to be forwarded to BuPers.

DATE

1. NAME

(last)(first)(middle)

RANK AND CLASSIFICATION

FILE NO.

SHIP OR STATION

PERIOD OF REPORT (mo., day, year)

DATE FROM

DATE TO

DATE OF REPORTING TO PRESENT SHIP OR STATION

OCCASION FOR REPORT

☐ DETACHMENT OF OFFICER REPORTED ON

☐ DETACHMENT OF REPORTING SENIOR

☐ REGULAR SEMI-ANNUAL

☐ QUARTERLY

☐ SPECIAL

2. DESCRIPTION OF DUTIES SINCE LAST FITNESS REPORT (List most recent first and describe accurately. Include periods of leave, transit, etc., also include employment of ship.)

FROM

TO

MO.

YR.

MO.

YR.

Has present duty changed since last fitness report was submitted? ☐ Yes ☐ No

3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE OF COURSE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.

Are you physically qualified for Sea Duty? ☐ Yes ☐ No ☐ Don't Know

4. If Aviator, indicate No. of Flight Hours Last Two years for Each Type Aircraft (List Most Recent Type First)

TYPE OF AIRCRAFT

NO. OF HOURS

TOTAL

5. MY PREFERENCE FOR NEXT DUTY IS:

SEA

KIND OF DUTY

LOCATION

SHORE

KIND OF DUTY

LOCATION

6. SECTIONS 6 THROUGH 12 TO BE FILLED IN BY REPORTING OFFICER

NAME OF REPORTING OFFICER

RANK

FILE NO.

OFFICIAL STATUS RELATIVE TO OFFICER REPORTED ON

IS THIS OFFICER QUALIFIED TO PERFORM ALL HIS PRESENT DUTIES? ☐ YES ☐ NO

INDICATE MORE RESPONSIBLE DUTIES FOR WHICH HE IS IN TRAINING. (If none, so state)

DATE OF EXPECTED QUALIFICATION

Comment on special or outstanding qualifications as well as any physical defects, which should be considered in determining the kinds of duty to which he should be detailed. Only comments on qualifications significant in detailing should be entered here. ANY COMMENTS REGARDING FITNESS FOR PROMOTION SHOULD BE ENTERED IN SECTION 12 ONLY OF PAGE 1.

APPRaisal FOR DETAIL PURPOSES

WORK SHEET

FOR WHAT DUTIES IS HE RECOMMENDED?

ASHORE

AFLOAT

7. FOR EACH FACTOR OBSERVED CHECK THE APPROPRIATE BOX TO INDICATE HOW THE OFFICER COMPARES WITH ALL OTHERS OF THE SAME RANK, CLASSIFICATION AND CORPS WHOSE PROFESSIONAL ABILITIES ARE KNOWN TO YOU PERSONALLY. DO NOT LIMIT THIS COMPARISON ONLY TO THE OTHERS NOW UNDER YOUR COMMAND. DO NOT HESITATE TO MAKE "NOT OBSERVED" ON ANY QUALITY WHEN APPROPRIATE. NO ENTRY WHICH IS MADE IN THIS SECTION WILL BE CONSIDERED AN UNSATISFACTORY REPORT WHICH MUST BE REFERRED TO THE OFFICER FOR STATEMENT. ONLY ENTRIES DESIGNATED IN SECTIONS 8, 9, 11 AND 12 WILL BE SO CONSIDERED.

RATING FACTORS		Not Observed	Within Bottom 10%	Within Next 20%	Within Middle 40%	Within Next Top 20%	Within Top 10%
A. SEA OR ADVANCE BASE DUTY How does this officer compare in: NOTE: ITEM (A3) TO BE MARKED FOR ALL OFFICERS.	1. STANDING DECK WATCHES UNDERWAY?						
	2. ABILITY TO COMMAND?						
	3. PERFORMANCE IN PRESENT DUTIES AS DESCRIBED IN SECTION 2, ABOVE?						
	4. REACTIONS DURING EMERGENCIES?						
	5. PERFORMANCE AT BATTLE STATION OR IN BATTLE DUTIES?						
B. INITIATIVE AND RESPONSIBILITY How well does this officer:	1. ASSUME RESPONSIBILITY WHEN SPECIFIC INSTRUCTIONS ARE LACKING?						
	2. GIVE FRANK OPINIONS WHEN ASKED OR VOLUNTEER THEM WHEN NECESSARY TO AVOID MISTAKES?						
	3. FOLLOW THROUGH DESPITE OBSTACLES IN CARRYING OUT RESPONSIBILITIES ASSIGNED OR ASSUMED?						
C. UNDERSTANDING AND SKILL How well does this officer:	1. UNDERSTAND INSTRUCTIONS GIVEN, AND USE SUGGESTIONS OFFERED?						
	2. EXERCISE JUDGMENT?						
	3. RATE IN TECHNICAL COMPETENCE IN HIS SPECIALTY, IF ANY? (Name Specialty)						
D. LEADERSHIP How well does this officer:	1. INSPIRE SUBORDINATES TO WORK TO THE MAXIMUM OF THEIR CAPACITY?						
	2. EFFECTIVELY DELEGATE TASKS AND AUTHORITY?						
	3. TRANSMIT ORDERS, INSTRUCTIONS, AND PLANS?						
	4. ORGANIZE HIS WORK AND THAT OF THOSE UNDER HIS COMMAND OR SUPERVISION?						
	5. MAINTAIN DISCIPLINE AMONG THOSE UNDER HIS COMMAND OR DIRECTION?						
E. CONDUCT AND WORK HABITS How does this officer compare in:	1. ABILITY TO WORK WITH OTHERS?						
	2. ABILITY TO ADAPT TO CHANGING NEEDS AND CONDITIONS?						
	3. MILITARY CONDUCT—BEARING, DRESS, COURTESY, ETC.?						

8. INDICATE YOUR ATTITUDE TOWARD HAVING THIS OFFICER UNDER YOUR COMMAND, WOULD YOU:

(Check one)

☐ DEFINITELY NOT WANT HIM? (UNSATISFACTORY)

☐ PREFER NOT TO HAVE HIM? (UNSATISFACTORY)

☐ BE SATISFIED TO HAVE HIM?

☐ BE PLEASED TO HAVE HIM?

☐ PARTICULARLY DESIRE HIM?

9a. Considering All Officers of the Same Rank, Classification and Corps, Whose Professional Abilities Are Known to You Personally, Would You Promote Him:

(Check one)

☐ UNDER NO CIRCUMSTANCES? (Unsatisfactory)

☐ IF 90% WERE TO BE PROMOTED?

☐ IF 70% WERE TO BE PROMOTED?

☐ IF 30% WERE TO BE PROMOTED?

☐ IF ONLY 10% WERE TO BE PROMOTED?

9b. How many Officers are included in the group used for the comparison in 9a?

☐ 10 OR LESS

☐ 10 TO 50

☐ OVER 50

10. COMMENT IN SECTION 12 AND GIVE REFERENCE HERE TO ANY COMMENDABLE OR ADVERSE REPORTS THAT HAVE BEEN MADE ON THE OFFICER DURING THIS PERIOD.

11. HAVE YOU ANY ADVERSE COMMENTS TO MAKE REGARDING THIS OFFICER'S QUALITIES OR PERFORMANCE? ☐ YES ☐ NO

NAS HE ANY MENTAL OR MORAL WEAKNESS WHICH ADVERSELY AFFECTS HIS EFFICIENCY? ☐ YES ☐ NO

If yes, explain in Section 12.

UNSATISFACTORY. Yes in either item of Section 11 constitutes an unsatisfactory report and must be referred to the officer for statement.

12. Give in this space a clear, concise appraisal of the officer reported on and his performance of duty, including any worthy of special mention. Include recommendations as to promotion. Any statements of unsatisfactory performance, ability, character, or conduct must be referred to the officer for statement. Statements of a constructive nature which refer to minor imperfections or lack of qualifications do not constitute an unsatisfactory report. For example: "This officer was a little slow in getting started but is now making good progress" or "This officer is well qualified in his present duties but has had no experience at sea" would not be unsatisfactory in nature.

Check one of these boxes — I CONSIDER THIS REPORT TO BE ☐ SATISFACTORY ☐ UNFAVORABLE ☐ UNSATISFACTORY

DO NOT LEAVE BLANK

SIGNATURE OF OFFICER REPORTED ON (Applies only to Sections 1 through 5)

SIGNATURE OF REPORTING OFFICER

Has this report been shown or referred to officer reported on? ☐ Yes ☐ No

PLEASE TYPE THIS FORM

If no typewriter is available use ink but be sure all copies are legible.

DATE

1. NAME	(last)	(first)	(middle)	RANK AND CLASSIFICATION	FILE NO.
---------	--------	---------	----------	-------------------------	----------

SHIP OR STATION	PERIOD OF REPORT (mo., day, year)
	DATE FROM DATE TO

DATE OF REPORTING TO PRESENT SHIP OR STATION	OCCASION FOR REPORT
	<input type="checkbox"/> DETACHMENT OF OFFICER REPORTED ON <input type="checkbox"/> DETACHMENT OF REPORTING SENIOR <input type="checkbox"/> REGULAR SEMI-ANNUAL <input type="checkbox"/> QUARTERLY <input type="checkbox"/> SPECIAL

2. DESCRIPTION OF DUTIES SINCE LAST FITNESS REPORT (List most recent first and describe accurately. Include periods of leave, transit, etc., also include employment of ship.)	FROM	TO
	MO. YR.	MO. YR.

Has present duty changed since last fitness report was submitted?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE OF COURSE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.	Are you physically qualified for Sea Duty?
	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't Know

4. If Aviator, indicate No. of Flight Hours Last Two years for Each Type Aircraft (List Most Recent Type First)	TYPE OF AIRCRAFT									TOTAL
	NO. OF HOURS									

5. MY PREFERENCE FOR NEXT DUTY IS:	SEA	KIND OF DUTY	LOCATION
	SHORE	KIND OF DUTY	LOCATION

6. SECTIONS 6 THROUGH 12 TO BE FILLED IN BY REPORTING OFFICER	NAME OF REPORTING OFFICER	RANK	FILE NO.	OFFICIAL STATUS RELATIVE TO OFFICER REPORTED ON
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IS THIS OFFICER QUALIFIED TO PERFORM ALL HIS PRESENT DUTIES? <input type="checkbox"/> YES <input type="checkbox"/> NO	INDICATE MORE RESPONSIBLE DUTIES FOR WHICH HE IS IN TRAINING. (If none, so state)	DATE OF EXPECTED QUALIFICATION
---	---	--------------------------------

Comment on special or outstanding qualifications as well as any physical defects, which should be considered in determining the kinds of duty to which he should be detailed. Only comments on qualifications significant in detailing should be entered here. ANY COMMENTS REGARDING FITNESS FOR PROMOTION SHOULD BE ENTERED IN SECTION 12 ONLY OF PAGE 1.

FOR WHAT DUTIES IS HE RECOMMENDED?

ASHORE

AFLOAT

7. FOR EACH FACTOR OBSERVED CHECK THE APPROPRIATE BOX TO INDICATE HOW THE OFFICER COMPARES WITH ALL OTHERS OF THE SAME RANK, CLASSIFICATION AND CORPS WHOSE PROFESSIONAL ABILITIES ARE KNOWN TO YOU PERSONALLY. DO NOT LIMIT THIS COMPARISON ONLY TO THE OTHERS NOW UNDER YOUR COMMAND. DO NOT HESITATE TO MARK "NOT OBSERVED" ON ANY QUALITY WHEN APPROPRIATE. NO ENTRY WHICH IS MADE IN THIS SECTION WILL BE CONSIDERED AN UNSATISFACTORY REPORT WHICH MUST BE REFERRED TO THE OFFICER FOR STATEMENT. ONLY ENTRIES DESIGNATED IN SECTIONS 8, 9, 11 AND 12 WILL BE SO CONSIDERED.

RATING FACTORS		Not Observed	Within Bottom 10%	Within Next 20%	Within Middle 40%	Within Next Top 20%	Within Top 10%
A. SEA OR ADVANCE BASE DUTY How does this officer compare in: NOTE: ITEM (A9) TO BE MARKED FOR ALL OFFICERS.	1. STANDING DECK WATCHES UNDERWAY?						
	2. ABILITY TO COMMAND?						
	3. PERFORMANCE IN PRESENT DUTIES AS DESCRIBED IN SECTION 2, ABOVE?						
	4. REACTIONS DURING EMERGENCIES?						
	5. PERFORMANCE AT BATTLE STATION OR IN BATTLE DUTIES?						
B. INITIATIVE AND RESPONSIBILITY How well does this officer:	1. ASSUME RESPONSIBILITY WHEN SPECIFIC INSTRUCTIONS ARE LACKING?						
	2. GIVE FRANK OPINIONS WHEN ASKED OR VOLUNTEER THEM WHEN NECESSARY TO AVOID MISTAKES?						
	3. FOLLOW THROUGH DESPITE OBSTACLES IN CARRYING OUT RESPONSIBILITIES ASSIGNED OR ASSUMED?						
C. UNDERSTANDING AND SKILL How well does this officer:	1. UNDERSTAND INSTRUCTIONS GIVEN, AND USE SUGGESTIONS OFFERED?						
	2. EXERCISE JUDGMENT?						
	3. RATE IN TECHNICAL COMPETENCE IN HIS SPECIALTY, IF ANY? (Name Specialty)						
D. LEADERSHIP How well does this officer:	1. INSPIRE SUBORDINATES TO WORK TO THE MAXIMUM OF THEIR CAPACITY?						
	2. EFFECTIVELY DELEGATE TASKS AND AUTHORITY?						
	3. TRANSMIT ORDERS, INSTRUCTIONS, AND PLANS?						
	4. ORGANIZE HIS WORK AND THAT OF THOSE UNDER HIS COMMAND OR SUPERVISION?						
	5. MAINTAIN DISCIPLINE AMONG THOSE UNDER HIS COMMAND OR DIRECTION?						
E. CONDUCT AND WORK HABITS How does this officer compare in:	1. ABILITY TO WORK WITH OTHERS?						
	2. ABILITY TO ADAPT TO CHANGING NEEDS AND CONDITIONS?						
	3. MILITARY CONDUCT—BEARING, DRESS, COURTESY, ETC.?						

8. INDICATE YOUR ATTITUDE TOWARD HAVING THIS OFFICER UNDER YOUR COMMAND, WOULD YOU:	(Check one) <input type="checkbox"/> DEFINITELY NOT WANT HIM? (UNSATISFACTORY) <input type="checkbox"/> PREFER NOT TO HAVE HIM? (UNSATISFACTORY) <input type="checkbox"/> BE SATISFIED TO HAVE HIM? <input type="checkbox"/> BE PLEASED TO HAVE HIM? <input type="checkbox"/> PARTICULARLY DESIRE HIM?
---	---

9a. Considering All Officers of the Same Rank, Classification and Corps, Whose Professional Abilities Are Known to You Personally, Would You Promote Him:	(Check one) <input type="checkbox"/> UNDER NO CIRCUMSTANCES? (Unsatisfactory) <input type="checkbox"/> IF 90% WERE TO BE PROMOTED? <input type="checkbox"/> IF 70% WERE TO BE PROMOTED? <input type="checkbox"/> IF 50% WERE TO BE PROMOTED? <input type="checkbox"/> IF ONLY 10% WERE TO BE PROMOTED?	9b. How many Officers are included in the group used for the comparison in 9a? <input type="checkbox"/> 10 OR LESS <input type="checkbox"/> 10 TO 50 <input type="checkbox"/> OVER 50
---	---	--

10. COMMENT IN SECTION 12 AND GIVE REFERENCE HERE TO ANY COMMENDABLE OR ADVERSE REPORTS THAT HAVE BEEN MADE ON THE OFFICER DURING THIS PERIOD.

11. HAVE YOU ANY ADVERSE COMMENTS TO MAKE REGARDING THIS OFFICER'S QUALITIES OR PERFORMANCE? HAS HE ANY MENTAL OR MORAL WEAKNESS WHICH ADVERSELY AFFECTS HIS EFFICIENCY?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO	If yes, explain in Section 12.	UNSATISFACTORY. Yes in either item of Section 11 constitutes an unsatisfactory report and must be referred to the officer for statement.
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12. Give in this space a clear, concise appraisal of the officer reported on and his performance of duty, including any worthy of special mention. Include recommendations as to promotion. Any statements of unsatisfactory performance, ability, character, or conduct must be referred to the officer for statement. Statements of a constructive nature which refer to minor imperfections or lack of qualifications do not constitute an unsatisfactory report. For example: "This officer was a little slow in getting started but is now making good progress" or "This officer is well qualified in his present duties but has had no experience at sea" would not be unsatisfactory in nature.

Check one of these boxes -- I CONSIDER THIS REPORT TO BE ☐ SATISFACTORY ☐ UNFAVORABLE ☐ UNSATISFACTORY

DO NOT LEAVE LANK

SIGNATURE OF OFFICER REPORTED ON (Applies only to Sections 1 through 6)	SIGNATURE OF REPORTING OFFICER	Has this report been shown or referred to officer reported on? <input type="checkbox"/> Yes <input type="checkbox"/> No
---	--------------------------------	---

PLEASE TYPE THIS FORM

If no typewriter is available use ink but be sure all copies are legible.

DATE

1. NAME		(last)	(first)	(middle)	RANK AND CLASSIFICATION		FILE NO.
SHIP OR STATION					PERIOD OF REPORT (mo., day, year)		DATE TO
DATE OF REPORTING TO PRESENT SHIP OR STATION		OCCASION FOR REPORT					
		<input type="checkbox"/> DETACHMENT OF OFFICER REPORTED ON <input type="checkbox"/> DETACHMENT OF REPORTING SENIOR <input type="checkbox"/> REGULAR SEMI-ANNUAL <input type="checkbox"/> QUARTERLY <input type="checkbox"/> SPECIAL					
2. DESCRIPTION OF DUTIES SINCE LAST FITNESS REPORT (List most recent first and describe accurately. Include periods of leave, transit, etc., also include employment of ship.)							FROM MO. YR. TO MO. YR.
Has present duty changed since last fitness report was submitted? <input type="checkbox"/> Yes <input type="checkbox"/> No							
3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE OF COURSE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.							Are you physically qualified for Sea Duty? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't Know
4. If Aviator, Indicate No. of Flight Hours Last Two years for Each Type Aircraft (List Most Recent Type First)		TYPE OF AIRCRAFT				TOTAL	
		NO. OF HOURS					
5. MY PREFERENCE FOR NEXT DUTY IS:		SEA		KIND OF DUTY		LOCATION	
		SHORE		KIND OF DUTY		LOCATION	
6. SECTION 6 TO BE FILLED IN BY REPORTING OFFICER		NAME OF REPORTING OFFICER		RANK		FILE NO. OFFICIAL STATUS RELATIVE TO OFFICER REPORTED ON	
IS THIS OFFICER QUALIFIED TO PERFORM ALL HIS PRESENT DUTIES? <input type="checkbox"/> YES <input type="checkbox"/> NO		INDICATE MORE RESPONSIBLE DUTIES FOR WHICH HE IS IN TRAINING. (If none, so state)					DATE OF EXPECTED QUALIFICATION
Comment on special or outstanding qualifications as well as any physical defects, which should be considered in determining the kinds of duty to which he should be detailed. Only comments or qualifications significant in detailing should be entered here. ANY COMMENTS REGARDING FITNESS FOR PROMOTION SHOULD BE ENTERED IN SECTION 12 ONLY OF PAGE 1.							
FOR WHAT DUTIES IS HE RECOMMENDED?							
ASHORE				AFLOAT			
SIGNATURE OF OFFICER REPORTED ON (Applies only to Sections 1 through 5)				SIGNATURE OF REPORTING OFFICER			

When completed remove carbon paper, forward Pages 1 and 2, not detached, to BuPers. Retain Page 3 for "Officer's Qualification Record Jacket".

PAGE 2

OFFICER'S QUALIFICATION REPORT

NAVPERS-310C (REV. 6-45)

OFFICER QUALIFICATIONS RECORD
JACKET COPY

PLEASE TYPE THIS FORM

If no typewriter is available use ink but be sure all copies are legible.

DATE

61

NAME		(last)	(first)	(middle)	RANK AND CLASSIFICATION		FILE NO.
SHIP OR STATION					PERIOD OF REPORT (mo., day, year)		DATE TO
DATE OF REPORTING TO PRESENT SHIP OR STATION		OCCASION FOR REPORT					
		<input type="checkbox"/> DETACHMENT OF OFFICER REPORTED ON <input type="checkbox"/> DETACHMENT OF REPORTING SENIOR <input type="checkbox"/> REGULAR SEMI-ANNUAL <input type="checkbox"/> QUARTERLY <input type="checkbox"/> SPECIAL					
2. DESCRIPTION OF DUTIES SINCE LAST FITNESS REPORT (List most recent first and describe accurately. Include periods of leave, transit, etc., also include employment of ship.)							FROM MO. YR. TO MO. YR.
Has present duty changed since last fitness report was submitted? <input type="checkbox"/> Yes <input type="checkbox"/> No							
3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE OF COURSE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.							Are you physically qualified for Sea Duty? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Don't Know
4. If Aviator, Indicate No. of Flight Hours Last Two years for Each Type Aircraft (List Most Recent Type First)		TYPE OF AIRCRAFT				TOTAL	
		NO. OF HOURS					
5. MY PREFERENCE FOR NEXT DUTY IS:		SEA		KIND OF DUTY		LOCATION	
		SHORE		KIND OF DUTY		LOCATION	
6. SECTION 6 TO BE FILLED IN BY REPORTING OFFICER		NAME OF REPORTING OFFICER		RANK		FILE NO. OFFICIAL STATUS RELATIVE TO OFFICER REPORTED ON	
SIGNATURE OF OFFICER REPORTED ON (Applies only to Sections 1 through 5)				SIGNATURE OF REPORTING OFFICER			

When completed remove carbon paper, forward Pages 1 and 2, not detached, to BuPers. Retain Page 3 for "Officer's Qualification Record Jacket".

PAGE 3

"Questions for Ratees"

Rank _____ Corp Line Aviation Staff

1. What is your feeling toward the U.S. Navy fitness report system?
2. What knowledge do you have of the contents of your last fitness report? Full___Partial___None___Rumor___.
3. If the answer to 3 above is Full or Partial, how did you gain this knowledge?
4. How do you feel about the discussion of fitness reports between the rater and the ratee? Why?
5. Do you presently intend to make a lifetime career of being a Naval Officer? Yes___No___.
6. Are you interested in improving yourself as a Naval Officer? Yes___No___.
7. Do you feel that your superiors have a fair understanding of your capabilities and limitations as a Naval Officer? Yes___No___Partially___Why?
8. Do you feel that your equals have a fair understanding of your capabilities and limitations as a Naval Officer? Yes___No___Partially___Why?
9. Do you feel that your subordinates have a fair understanding of your capabilities and limitations as a Naval Officer? Yes___No___Partially___Why?

"Questions for Ratees"Page 2

10. Do you feel that you are aware of your own strengths and weaknesses as a Naval Officer? Yes___No___Partially___Why?
11. Do you make any concrete attempts to improve your shortcomings as a Naval Officer? Yes___No___If yes, how?
12. Do you consciously make an effort to appear at your best for a short period before your fitness report is due for submission? Yes___No___.
13. Do you know what standards of performance your rater has set up for you to meet as a Naval Officer? Yes___No___.
14. How well do you think that you measure up to those standards? Why?
15. If you were offered an opportunity to choose your next billet in the Navy, would you know how to choose one where your abilities would be best displayed? Yes___No___Why?
16. If you were offered one year in college (or other training) with a free choice of courses, would you know how to pick the type courses which would improve your general ability as a Naval Officer? Yes___ No___Why?
17. Do you feel that your fitness reports will properly represent you to promotion boards and in your official record? Yes___No___Why?

"Questions for Raters not Advocating a Discussion"

Rank _____ Years Commissioned Service 5 10 15 20 25 30

1. What is your attitude toward the U.S.Navy fitness report system?

2. Do you believe that fitness reports can be of any value to the Navy other than selecting officers for promotion and assignments?

Yes ___ No ___; If yes, what other values?

3. It is assumed that every officer having responsibility for others sets in his mind standards against which he measures the performance of subordinates. How do you communicate to the subordinate his performance with respect to these standards?

4. Have you ever discussed a subordinate's work performance with him? Yes ___ No ___.

5. (a) Have you ever discussed a fitness report with a subordinate?
Yes ___ No ___.
(b) If yes, why did you discuss it with him?

6. If the reason for 5(b) above is other than "required by regulations", (a) what was the attitude of the subordinate toward the discussion? (b) what was your attitude?

"Questions for Raters not Advocating a Discussion"

Page 2

7. If 6 above was answered, (a) did the work performance of the subordinate improve after the discussion? Yes___No___; (b) was there any resentment on the part of the subordinate after the discussion?
8. If regulations required a discussion of fitness reports with the ratee prior to submission to the Bureau of Naval Personnel, what would be your personal objections to such a procedure?
9. Would your objections be the same if you were with a unit afloat?

"Questions for Raters Advocating a Discussion"

Rank _____ Years Commissioned Service 5 10 15 20 25 30

1. What is your attitude toward the U.S.Navy fitness report system?

2. Why do you discuss fitness reports with ratees?

3. Briefly, how do you proceed with the discussion of fitness reports with ratees?

4. Do you believe that fitness reports can be of any value to the Navy other than selecting officers for promotion and assignments? Yes___ No___; If yes,how?

5. It is assumed that every officer having responsibility for others sets in his mind standards against which he measures the performance of subordinates. How do you communicate to the subordinate his performance with respect to these standards?

6. What has been the effect on the ratees with whom you discussed fitness reports?

"Questions for Raters Advocating a Discussion"Page 2

7. What has been the effect on discipline among those with whom you have discussed fitness reports?
8. Have you ever experienced a feeling of inadequacy or embarrassment in discussing fitness reports with subordinates?
Yes___ No___.
9. (a) Have any ratees expressed resentment toward you after the discussion? Yes___ No___.
(b) If yes, about what percentage?
10. After interviewing subordinates regarding fitness reports, do you feel that the command (unit) has been strengthened?___ weakened?___ unchanged?___
11. As a result of an interview regarding fitness reports, do you feel that you have a better understanding of the ratee?
Yes___ No___.
12. Do you feel that the time required to discuss fitness reports has been wasted? Yes___ No___; Why?
13. Do you feel there would be any essential difference between units afloat and ashore regarding discussing fitness reports?
Yes___ No___ . If yes, what differences?
14. Do you think that a discussion of fitness reports between the rater and the ratee should be required by regulations in all cases? Yes___ No___ . If no, please explain.

- [illegible]

- | | Favorable
Comment | Neutral
Comment | Constructive
Criticism | Negative
Criticism |
|--|----------------------|--------------------|---------------------------|-----------------------|
| Personality
(Character) | | | | |
| Leadership | | | | |
| Responsibility | | | | |
| Conduct | | | | |
| Work Methods | | | | |
| Work Performance | | | | |
| Ability | | | | |
| Specific instances
of performance not
included above | | | | |
| Others | | | | |

Appendix C

Summary of information received from questionnaire survey of ratees.

Column	1	2	3	4	5	6	7
Question Numbers and Answers	Those who have discussed their fitness reports	Those who have read their fitness reports	Those who have not seen their fitness reports	Col. 1 plus Col. 3	Total answers received	Col. 3 in percentage	Col. 4 in percentage
#1 Satisfactory	9	29	11	38	76	46	73
Unsatisfactory	2	12	13	14	76	54	27
#4 Like	9	33	23	42	76	92	79
Dislike	2	9	2	11	76	8	21
#5 Yes	11	38	20	49	80	80	89
No	7	6	5	6	80	20	11
#6 Yes	10	42	25	52	80	100	95
No	1	2	0	3	80	0	5
#7 Yes	10	31	1	41	79	64	76
No, Partially	1	12	0	13	79	36	24
#8 Yes	9	34	21	43	76	87	83
No, Partially	2	7	3	9	76	13	17
#9 Yes	10	35	15	45	73	68	88
No, Partially	0	6	7	6	73	32	12
#10 Yes	7	30	14	43	80	56	84
No, Partially	4	5	11	9	80	44	16
#11 Yes	9	42	23	51	77	92	93
No	0	2	1	4	77	0	7
#13 Yes	0	31	7	37	76	32	49
No	5	28	17	30	76	71	31
#16 Yes	7	40	19	47	77	70	89
No	4	2	3	5	77	21	11
#17 Yes	11	27	1	38	76	41	71
No	0	16	13	16	76	51	29

For question number four, with the combined groups, eighty-three percent desire the discussion, seventeen percent oppose it.

Questions numbers twelve and fifteen were not listed in the table because 100 percent of the replies were Yes in both cases.

Appendix B

The survey of fitness reports accomplished on the form exhibited in Appendix B gave the numerical and percentage figures listed on the forms in this section.

Significant differences exist in the total number of marks placed in the percentile rating for the highest ten percent column and the next twenty percent column for section seven alone and sections seven, eight and nine(a) when totaled. The marks on fitness reports shown to ratees were significantly larger in the highest ten percent column. The computations for these differences are given below.

For section seven:

	Next 20%	Highest 10%	Total in Group
Fitness reports shown to ratee	535 (33.5%)	602 (37.7%)	1596
Fitness reports not shown to ratee	379 (23.4%)	485 (30.4%)	1444

$$\chi^2_{p_1-p_2} = \sqrt{\chi^2_{p_1} + \chi^2_{p_2}} \quad \chi^2_{p_1} = \sqrt{\frac{2p}{n}} \quad q = 1-p$$

Next 20%

$$\chi^2_{p_1-p_2} = \sqrt{\frac{(.335)(.665)}{1596} + \frac{(.394)(.606)}{1444}} = .0171 = 1.71$$

Three standard deviations = 5.13

Actual difference = 5.99

Highest 10%

$$\chi^2_{p_1-p_2} = \sqrt{\frac{(.372)(.628)}{1596} + \frac{(.304)(.696)}{1444}} = .0171 = 1.71$$

Three standard deviations = 5.13

Actual difference = 5.99

For sections seven, eight and nine (a) totaled:

	Next 20%	Highest 10%	Total in Group
Fitness reports shown to ratee	609 (74.5%)	681 (38.6%)	1764
Fitness report not shown to ratee	600 (41.3%)	476 (29.8%)	1596

Next 20%

$$\sqrt{\frac{(.583)(.614)}{1764} + \frac{(.298)(.702)}{1596}} = .0163 = 1.63\%$$

Three standard deviations = 4.89%

Actual difference = 8.80%

Highest 10%

$$\sqrt{\frac{(.345)(.655)}{1764} + \frac{(.413)(.587)}{1596}} = .0167 = 1.67\%$$

Three standard deviations = 5.01%

Actual difference = 6.80%

Tabulation for section twelve for each group is given in the table below.

Frequency	Fitness reports seen by ratee	Fitness reports not seen by ratee
0	0	0
1	0	3
2	0	6
3	01	18
4	23	23
5	16	12
6	9	10
7	4	1
8	1	0
9	2	0

"Comparison of Fitness Reports"

1. This fitness report (has)(~~has not~~) been referred to the ratee.
2. The ratee's rank is _____. His classification is _____.
3. Referring to sections 7,8 and 9a, the percentile rating is:

	Low NO	Low 10%	Middle 20%	Middle 40%	High 20%	High 10%		Low 10%	Middle 20%	Middle 40%	High 20%	High 10%
7A1	73			1	7	3	7D1	13		14	39	18
7A2	50			7	21	6	7D2	11	1	10	37	25
7A3	1		1	4	52	40	7D3	6	1	7	26	44
7A4	58		1	4	13	8	7D4	1		11	35	37
7A5	66				12	6	7D5	11	1	9	31	32
7B1			1	10	37	36	7E1			4	22	58
7E2	1		1	6	37	59	7E2	1	1	7	30	45
7E3	1		1	12	30	40	7E3		2	5	22	55
7C1			1	4	32	47	8			7	31	46
7C2			1	10	40	33	9a			8	43	33
7C3	25			3	26	30	Tot.	318	13	143	609	681

Section 7 Tot. 318 13 128 535 602

4. This report is classified by the rater as:

Satisfactory_____ Unfavorable_____ Unsatisfactory_____.

5. The total number of items observed in section 12 is _____.
6. Referring to section 12, complete the following form:

	Favorable Comment	Neutral Comment	Constructive Criticism	Negative Criticism
Personality (Character)	105	2	1	
Leadership	24	2	2	
Responsibility	22	2	1	
Conduct	6			
Work Methods	42	4		1
Work Performance	78	11	2	1
Ability	50	2	1	
Specific instances of performance not included above	1		1	1
Others	1			

"Comparison of Fitness Reports"

1. This fitness report (~~has~~) (has not) been referred to the ratee.
2. The ratee's rank is _____. His classification is _____.
3. Referring to sections 7,8 and 9a, the percentile rating is:

	NO	Low 10%	Middle 20%	High 40%	High 20%	High 10%		Low 10%	Middle 20%	High 40%	High 20%	High 10%
7A1	57			3	9	7	7D1	10	1	15	33	17
7A2	37		3	3	23	10	7D2	10		13	32	21
7A3	2		2	4	37	31	7D3	5	1	7	36	27
7A4	52			1	17	6	7D4	6	1	10	34	25
7A5	54		1	4	12	5	7D5	14	1	5	35	21
7B1	7		1	10	34	28	7E1			5	33	38
7B2	5		1	7	31	32	7E2	6		4	38	28
7B3	6		3	10	34	23	7E3			8	33	35
7C1		1		4	37	34	8			5	45	26
7C2	4		2	8	40	22	9a		1	5	45	25
7C3	36	1		2	22	15	Tot.	307	2	18	133	660
							Section 7 Tot.	307	2	17	123	570
											425	

4. This report is classified by the rater as:

Satisfactory_____ Unfavorable_____ Unsatisfactory_____.

5. The total number of items observed in section 12 is _____.
6. Referring to section 12, complete the following form:

	Favorable Comment	Neutral Comment	Constructive Criticism	Negative Criticism
Personality (Character)	82	2		
Leadership	23	1		
Responsibility	12			1
Conduct	1			
Work Methods	34	6	1	
Work Performance	62	17		
Ability	42	3	2	
Specific instances of performance not included above	3			1
Others				

Tabulation of results of fitness report survey for sections seven, eight and nine(a) in percentage form.

		Low 10%	Middle 50%	High 40%	
<u>For fitness reports referred to rates.</u>					
7A1	88.9		1.2	8.3	3.6
7A2	55.3		2.3	25.0	7.2
7A3	1.2	1.2	4.8	45.7	47.6
7A4	69.7	1.2	4.8	15.3	9.3
7A5	78.5			14.3	7.2
7B1		1.2	12.0	44.0	42.8
7B2	1.2	1.2	7.2	44.0	46.4
7B3	1.2	1.2	14.1	36.0	47.3
7C1		1.2	4.8	32.0	58.0
7C2		1.2	17.0	47.8	30.2
7C3	29.8		3.6	30.9	35.7
7D1	15.5		10.7	46.4	21.4
7D2	13.1	1.2	11.6	44.0	29.8
7D3	7.2	1.2	8.7	30.9	52.4
7D4	1.2		13.1	41.7	44.0
7D5	13.1	1.2	17.7	36.9	38.1
7E1			4.8	26.2	69.0
7E2	1.2	1.2	8.7	35.7	53.6
7E3		2.3	6.0	24.0	65.4
8			7.3	36.9	54.8
9a			9.6	21.0	70.7

For fitness reports not referred to rates.

7A1	75.0		3.9	37.0	2.0
7A2	40.7		3.9	30.4	13.1
7A3	0.0	2.3	5.7	45.7	40.0
7A4	50.4		1.3	22.4	7.5
7A5	21.0	1.2	5.7	25.8	6.6
7B1	3.9	1.3	13.1	44.8	38.9
7B2	0.0	2.3	0.2	40.8	42.1
7B3	3.9	3.9	17.1	44.8	30.3
7C1		1.2	1.2	20.7	41.0
7C2	0.0	1.2	10.1	32.6	49.0
7C3	17.1	2.3	0.0	30.0	50.7
7D1	17.1	1.3	13.1	43.0	24.4
7D2	17.1		10.1	36.7	30.7
7D3	0.0	1.3	11.2	47.4	35.0
7D4	7.5	2.3	22.4	31.0	37.0
7D5	11.4	1.2	1.0	48.1	27.6
7E1			0.0	43.4	50.0
7E2	7.5		0.0	39.3	56.0
7E3			0.0	30.0	60.0
8			0.0	30.0	54.0
9a		1.3	3.6	31.0	59.0

APPENDIX

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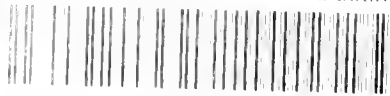
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